



**Connection**



**Engagement**



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**Results**

# **PERFORMANCE MANAGEMENT**

**DESK GUIDE FOR ALL EMPLOYEES**



**November 2016**

## Overview

This desk guide on performance management consolidates information you - as a HUD executive, manager or employee - should know about performance requirements and the evaluation process for the upcoming year. It is the product of a collective effort involving managers and staff from virtually every part of HUD.

From the Annual Performance Plan (APP) to setting objectives in your EPACS, SL/ST, PACS or EPPES performance plan, this guide attempts to set the context for and increase understanding of the various parts comprising the performance management framework. It also attempts to better connect the work we do every day.

With your help, we will continue to improve this guide over time – just as we hope to improve our organization and its operations. The greater understanding and transparency provided through this guide will help make that possible.

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## Goal Statement

This guide is more than a collection of instructions on forms and processes. It is an important step in establishing a culture at HUD where managers and staff are always clear about their expectations and are accountable to each other - through one-on-one conversations and group meetings that take place regularly throughout the year - and where each person is assigned fewer, but more meaningful, performance objectives that will “move the needle” toward achieving the Department’s mission. This guide, coupled with meaningful conversations centered around expectations and performance, will become the foundation for building that culture within HUD.

## HUD’s Mission

Create strong, sustainable, inclusive communities and quality, affordable homes for all.

## HUD’s Vision



1. Building a stronger HUD



2. Helping families and individuals secure quality housing



3. Ending Homelessness



4. Strengthening all communities in this Century of Cities



5. Leveling the playing field for Americans from all walks of life



6. Addressing climate change and natural disasters

## HUD's Core Values

**Accountability:** We individually and collectively take responsibility for our performance and our conduct.

**Efficiency and Effectiveness:** We will maximize our resources and efforts to continually improve the efficiency and effectiveness of our individual and collective performance. We strive for simplicity in our lines of authority and clarity in our lines of communication as we strive to eliminate the red tape of bureaucracy. We support a productive work environment that balances high performance with the need for a healthy personal and community life.

**Fairness and Respect:** We value each other, demonstrate compassion for those we serve, and treat others the way we would like to be treated. In respecting others, we conduct our work and administer our programs with fairness and justice, and with a commitment to civil rights, inclusion, and diversity.

**Integrity:** We approach each other, our stakeholders, and our work with honesty and the highest ethical standards.

**Teamwork:** We work together in a spirit of camaraderie, trust, and collaboration. We believe that by contributing our individual strengths we can accomplish more together than separately. We are open-minded, ready to adapt, and willing to embrace innovation and creativity when confronting challenges in our work. We will promote excitement and enthusiasm in our workplace.

## **Listing of HUD Program Offices**

**Center for Faith-Based and Neighborhood Partnerships – (CFBP)**

**Chief Financial Officer – (CFO)**

**Chief Information Officer – (CIO)**

**Chief Procurement Officer – (CPO)**

**Community Planning and Development – (CPD)**

**Congressional/Intergovernmental Relations – (CIR)**

**Departmental Management – (DM)**

**Equal Employment Opportunity – (ODEEO)**

**Fair Housing/Equal Opportunity – (FHEO)**

**Field Policy and Management – (FPM)**

**Office of Administration – (ADMIN)**

**Office of the Chief Human Capital Officer – (OCHCO)**

**Office of the General Counsel – (OGC)**

**Ginnie Mae – (GNMA)**

**Office of Lead Hazard Control and Healthy Homes – (OLHCHH)**

**Housing – (HSNG)**

**Office of the Inspector General – (OIG)**

**Policy Development and Research – (PDR)**

**Public Affairs – (PA)**

**Public and Indian Housing – (PIH)**

**Office of Strategic Planning and Management – (OSPM)**



## Glossary of Terms

### **Agency Priority Goals (APGs):**

Agency priority goals are measures and targets defined in the Annual Performance Plan.

### **Annual Performance Plan (APP):**

Formulates the goals, targets and operational strategies to ensure HUD fulfills its mission.

### **Book of Business:**

Program Office and Support Office specific priority goals, not identified as an APG, with measures and targets defined in Program Office and Support Office Operating Plans.

### **Cascade:**

Critical elements and performance expectations described in the performance standards are to flow from the Executive Level Manager's performance plan in order to link the expected results from the Executive's performance plan to the PACS manager/supervisor's plan, down to the expectations for the EPPES employee's performance plan.

### **Collaboration Critical Element:**

Departmentwide Elements for PACS/EPPES: The purpose of this element is to support the Department's strategic goals and mission requirements through *shared responsibility*, while enabling the employee to engage with others for the purpose of producing greater value than could be produced when the employee acts alone.

### **Critical Element:**

A component of a position consisting of assignments or responsibilities that contribute toward accomplishing organizational goals and objectives where the component is of such importance that unacceptable performance in that element would result in a determination that the employee's overall performance is unacceptable.

### **Executive Core Qualifications (ECQs):**

The five qualifications considered necessary for effective performance in any SES position and are the basis of a Qualifications Review Board certification for career appointment to the SES. The ECQs are Leading Change, Leading People, Results Driven, Business Acumen, and Building Coalitions.

### **EPACS:**

SES Employees -- Executive Performance Accountability and Communication System.

### **EPPES:**

Non-Supervisory Employees -- Employee Performance Planning and Evaluation System.

### **Executive Resources Board (ERB):**

A panel of top agency executives responsible under the law for conducting the merit staffing process for career appointment to Senior Executive Service (SES) positions. Most ERBs are also responsible for setting policy on and overseeing such areas as SES position planning and executive development.

**InCompass:**

A unified talent management system that HUD employees can use to track performance and will eventually be used for compensation, succession planning, learning and workforce planning.

**In-Service Days:**

The objective is to ensure all employees receive fair, timely, and accurate evaluations and feedback, in addition to allowing managers the support needed to devote time to performance management. It is recommended that managers and supervisors hold at least five one-on-one meetings with employees to ensure ongoing feedback to employees regarding performance and training needs. The most important meetings are the initial meeting, the formal mid-year review meeting, and the formal year-end review meeting.

**Labor Management Advisory Committee (LMAC):**

The LMAC was established to review and develop recommendations for a new departmental performance management process.

**Milestone:**

A scheduled event signifying the completion of a major deliverable of a set of related deliverables or phase of work.

**Operating Plans:**

The Operating Plans are internal documents produced annually. Each Field Office and local-Regional Office must generate a Local Operating Plan, which will set forth actionable projects and milestone activities aimed at achieving the agency priority goals (“APGs”) and HUD’s Book of Business at the local level. These Local Operating Plans will then be aggregated to form the National Operating Plan.

**Operational Excellence:**

Achieve operational excellence through better talent management, streamlining processes, increasing accountability and transparency, and continuously improving using customer feedback.

**Opportunity to Improve Plan (OIP):**

The formal process for dealing with poor performance begins with what is known as an “Opportunity to Improve Plan”, which specifies the level of performance the employee must meet, identifies what the employee needs to do to improve, describes the assistance that is being provided to help the employee improve, and specifies the time period during which the employee must demonstrate improved performance.

If performance does not improve above the unsatisfactory level during this “opportunity period,” action may be initiated to remove or demote the employee, consistent with Handbook 432.01 and applicable law and regulation, or the employee may be reassigned to another position at the same grade.

An opportunity to improve notice may be given to an employee at any time during the appraisal period when his/her performance becomes unsatisfactory. Please Note: An employee who is serving a probationary or trial period is not subject to this procedure.

**Outcome Measure:**

An assessment of the results of a program activity compared to its intended purpose.

**PACS:**

Supervisors/Managers -- Performance Accountability and Communication System

**Performance Goal:**

A target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value or rate.

**Performance Improvement Plan (PIP):**

Whenever an employee receives an element rating of minimally satisfactory or notification during a progress review meeting that he/she is performing at the minimally satisfactory level, he/she will be issued a memorandum documenting the performance problems, what the employee needs to do to improve performance, and the assistance available to improve performance. Such a memorandum may also be issued at other times during the rating period when performance in a critical element is determined to be at the minimally satisfactory level. This memorandum is called a "Performance Improvement Plan." The assistance made available may include, but is not limited to, classroom training, on-the-job training, counseling, and closer supervision. Please Note: An employee who is serving a probationary or trial period is not subject to this procedure.

**Performance Review Board (PRB):**

An agency board that is responsible for making recommendations to the appointing authority on SES performance ratings, bonuses and pay increases. Agencies may have more than one PRB.

**Performance Standard:**

Specific expectations or requirements established by management for a critical element at a particular rating level. A performance standard may include, but is not limited to, factors such as quality, quantity, timeliness, and manner of performance.

**Personal Investment Critical Element:**

Department wide Elements for EPPES: The purpose of this element is to foster a culture of shared responsibility and collaboration between the employee and his/her supervisor, as it relates to the employee's personal development and in shaping and supporting the mission of HUD. It is also intended to encourage the employee to embrace and advocate for continuous improvement and change. Each program office may tailor this element for its EPPES employees or for its PACS employees.

**President's Management Agenda (PMA):**

The PMA initiative for performance management requires agencies to design and operate appraisal programs for employees at all levels that focus on achieving results.

**Progress Review Meetings:**

The Progress Review meeting is an assessment of the employee's progress toward achieving the performance standards; it is not in itself a rating. The employee and supervisor should discuss the elements, standards and accomplishments to provide the employee an assessment of their performance to-date.

**Rating Official:**

An employee's immediate supervisor.

**Results Oriented:**

All employee performance plans must include critical elements and performance standards developed in accordance with Specific, Measurable, Attainable, Relevant, and Time-bound (SMART) standards methodology.

**Reviewing Official:**

An employee's second-line supervisor.

**SL/ST:**

Senior Level and Scientific and Professional Employees – Senior Level and Scientific and Professional Performance Accountability and Communication System.

**SMART:**

Specific, Measurable, Attainable, Relevant, and Time-bound methodology. Through implementation of this guide, HUD's goal is to ensure that performance plans are focused on results. Results-Focused Performance Management means that employee performance plans must be focused on achieving results, appropriate to the employee's level of responsibility. All employee performance plans must include critical elements and performance standards developed in accordance with the SMART standards methodology. SMART plans will help employees focus on achieving specific results that will be directly related to the goals and priorities of their organization and the Department as a whole. At least 60 percent of PACS/EPPES employee's critical elements need to meet these criteria.

**Strategic Alignment:**

Identifies how the work that you do supports the Department's mission objectives by linking your performance requirements to one of HUD's strategic goals, Annual Performance Goals or another program planning document.

**Strategic Plan:**

HUD's Strategic Plan establishes the Department's strategic goals for achieving HUD's mission. The Strategic Plan focuses on challenges facing the housing sector, which must be addressed to ensure successful performance management.

# Overview of Performance Management

## **Performance Management at a Glance:**

Performance Management (PM) is a process by which an agency involves its employees, as individuals and members of a group, in improving organizational effectiveness through the accomplishment of the agency's mission and goals. It allows the agency to translate goals into results. PM focuses on individual employees, teams, programs, processes and the organization as a whole. A well-developed Performance program addresses individual and organizational performance matters necessary to properly create and sustain a healthy and effective results-oriented culture. Effective PM helps organizations raise individual performance, foster ongoing employee and supervisor development, and increase overall organizational effectiveness.

## **Performance Management Five Key Components:**

- **Planning** work and setting expectations

In an effective organization, work is planned out in advance. Planning consists of setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Regulatory requirements for planning employees' performance include establishing the elements and standards of their performance appraisal plans.

- **Continually monitoring** performance

In an effective organization, assignments and projects are monitored continually. This consists of continually measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals. Regulatory requirements include conducting progress reviews with employees where their performance is compared against their elements and standards.

- **Developing** the capacity to perform

Developing includes increasing the capacity to perform through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes or other methods. This encourages good performance, strengthens job-related skills and competencies, and helps employees keep up with changes in the workplace.

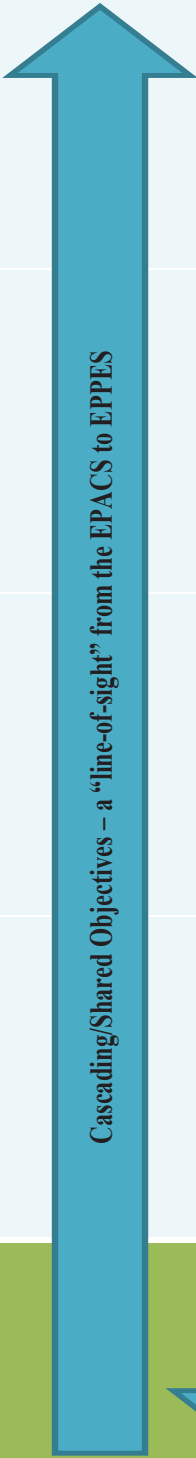

- **Periodically rating** performance in a summary fashion

This includes summarizing employee performance. This process helps organizations identify their best performers. Within the context of formal performance appraisal requirements, ratings means evaluating employee or group performance against the elements and standards in an employee's performance plan and assigning a summary rating of record.

- **Rewarding** good performance

Rewarding means recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the agency's mission. Recognizing employees for their performance should be a natural, day-to-day experience.

# Overview of Performance Framework

OVERVIEW OF PERFORMANCE MANAGEMENT				
Critical Element	Executive Performance Accountability and Communication System (EPACS) – Executive Core Qualifications	Senior Level and Scientific and Professional Performance Accountability and Communication System (SL/ST)	Performance Accountability and Communication System (PACS)	Employee Performance Planning and Evaluation System (EPPES)
1	Leading People	Leading Change	Personal Investment	Personal Investment
2	Leading Change	Technical Leadership	Collaboration	Collaboration
3	Business Acumen	Program/Project Management	APG or Operational Excellence	Book of Business
4	Building Coalitions	Building Coalitions	Book of Business	Book of Business
5	Results Driven	Results Driven	APG or Book of Business	APG or Book of Business
 <p>Cascading/Shared Objectives – a “line-of-sight” from the EPACS to EPPES</p>				
 <p>Succession Planning – Merit promoting staff up through the organization</p>				

## Performance Rating Levels

Performance plans shall include five rating levels to distinguish levels of performance. Performance standards are written at the level marked below with an asterisk. (\*)

Five point scale of Level 1 through 5 to be used to evaluate performance for each critical element (CE) with:

### EPACS and SL/ST

- Level 5 = Outstanding\*
- Level 4 = Exceeds Fully Successful\*
- Level 3 = Fully Successful\*
- Level 2 = Minimally Satisfactory
- Level 1 = Unsatisfactory

### PACS and EPPES

1. Level 5 = Outstanding\*
  2. Level 4 = Excellent/Highly Successful
  3. Level 3 = Fully Successful\*
  4. Level 2 = Marginally Successful
  5. Level 1 = Unacceptable\*
1. The employee has significantly exceeded the established performance requirement/standard(s) for the individual performance objective, and the achievement was of exceptionally high quality that substantially exceeded the normally high level of performance expected of an employee.
  2. The employee has exceeded the established performance requirement/standard(s) for the individual performance objective, and produced a consistently high quality and quantity of work.
  3. The employee has met the established performance requirement/standard(s) for the individual performance objective, and all assignments were completed, timely, and well prepared.
  4. The employee has barely met the established performance requirement/standard(s) for the individual performance objective. While the performance of the objective in general meets the relevant performance requirement/standard(s), there are noted deficiencies in the performance that require improvement.
  5. The employee has failed to meet the established performance requirement/standard(s) for the individual performance objective and failed to complete assignments in an acceptable manner.



## Timeline

SEPTEMBER 1-30	EPACS and SL/ST	PACS	EPPES
<b>SES and SL/ST ESTABLISH</b>	<ul style="list-style-type: none"> <li>• SES and SL/ST meet with their managers to define metrics, projects, tasks and activities to be carried out during rating cycle.</li> <li>• All SES/SL/ST plans due InCompass.</li> </ul>	—	—
<b>Performance Plans</b>			
SEPTEMBER 1 - OCTOBER 30	EPACS and SL/ST	PACS	EPPES
<b>Previous Rating Cycle</b>	<b>Instructions/Guidance will be provided</b>		
<b>New Rating Cycle Begins</b>			
OCTOBER 1-30	EPACS and SL/ST	PACS	EPPES
<b>PACS ESTABLISH</b>	<ul style="list-style-type: none"> <li>• SES hold one-on-one meetings with each employee to discuss performance expectations for new rating cycle.</li> <li>• Enter elements/standards into InCompass for PACS employees.</li> </ul>	<ul style="list-style-type: none"> <li>• PACS Managers meet with their Managers to define metrics, projects, tasks and activities to be carried during the rating cycle.</li> <li>• All PACS performance plans due in In-Compass.</li> <li>• Employees begin to work on self-assessment of previous rating</li> </ul>	<ul style="list-style-type: none"> <li>• Employees begin to work on self assessment of previous rating cycle performance.</li> </ul>
<b>Performance Plans</b>			
<b>SELF-ASSESSMENT</b>			
<b>Previous Rating cycle Performance</b>			
<b>CLOSEOUT Begins</b>	<ul style="list-style-type: none"> <li>• SES request employee's self- assessment.</li> <li>• Supervisor determines initial summary rating.</li> </ul>	<ul style="list-style-type: none"> <li>• PACS request employee's self-assessment.</li> <li>• Supervisor determines initial</li> </ul>	<ul style="list-style-type: none"> <li>• Employees submit self-assessments to supervisor via InCompass.</li> </ul>

<b>Rating Cycle</b>	<ul style="list-style-type: none"> <li>• Roll-up Review /Approval.</li> <li>• Communicate final ratings.</li> </ul>	<p>summary rating.</p> <ul style="list-style-type: none"> <li>• Roll-up Review/ Approval.</li> <li>• Communicate final ratings.</li> </ul>	
	<b>EPACS and SL/ST</b>	<b>PACS</b>	<b>EPPEs</b>
<b>EPPEs ESTABLISH</b>	<ul style="list-style-type: none"> <li>• PRB reviews/ approves SES rating recommendations.</li> <li>• Deputy Secretary reviews/approves PRB recommendations.</li> </ul>	<ul style="list-style-type: none"> <li>• PACS Managers hold one-on- one meetings with each employee to discuss performance expectations for new rating cycle</li> <li>• Enter elements/ standards into InCompass for EPPEs employees.</li> </ul>	<ul style="list-style-type: none"> <li>• EPPEs employees meet with their Managers to define metrics, projects, tasks and activities to be carried out during the rating cycle.</li> <li>• All EPPEs performance plans due in InCompass.</li> </ul>
<b>Performance Plans</b>			
<b>DECEMBER 2-30</b>	<b>EPACS and SL/ST</b>	<b>PACS</b>	<b>EPPEs</b>
<b>Performance AWARDS</b>	Instructions/Guidance will be provided		
<b>JANUARY 1 – MAY 15</b>	<b>EPACS and SL/ST</b>	<b>PACS</b>	<b>EPPEs</b>
<b>In-Service Day</b>	<p>Participate in In-Service Day Activities  (e.g. Prep-Mid-Year Review Self-Assessment;  Schedule/Conduct face-to-face meetings, etc.)  <i>(Check with your supervisor or HQ AO for instructions/guidance)</i></p>		
<b>APRIL 1 – May 15</b>	<b>EPACS and SL/ST</b>	<b>PACS</b>	<b>EPPEs</b>
<b>MID-YEAR Progress Review</b>	<ul style="list-style-type: none"> <li>• SES conduct progress review meetings with</li> </ul>	<ul style="list-style-type: none"> <li>• PACS Managers</li> </ul>	<ul style="list-style-type: none"> <li>• Employees prepare</li> </ul>

	PACS employees.	conduct progress review meetings with EPPES employees.  • *Enter mid-year ratings into InCompass for Union employees.	for mid-year review meeting.
<b>Secretary's Awards Ceremony</b>	<p style="text-align: center;"><b>Planning Committee</b>  (e.g. Prep-Awards Categories;  Schedule meetings with Public Affairs/Graphics  Coordinate with GDAS to set up committees)  <i>(Coordinate with Secretary's scheduler for a date that works with the Secretary's schedule)</i></p>		
<b>AUGUST 1 – SEPTEMBER 30</b>	<b>EPACS and SL/ST</b>	<b>PACS</b>	<b>EPPES</b>
<b>In-Service Day</b>	<p style="text-align: center;">Participate in In-Service Day Activities  (e.g. Prep-Final Rating Self-Assessment;  Schedule/Conduct face-to-face meetings, etc.)  <i>(Check with your supervisor or HQ AO for instructions/guidance)</i></p>		

## Performance Management Process

### Establishing Plan Process

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- Employees meet with supervisors to discuss expectations, goals and performance objectives
- Employee or manager enters performance elements and standards in InCompass
- Rating official approves performance plan in InCompass
- Reviewing Official approves performance plan in InCompass
- Employee signs off on the plan in InCompass



### Mid-Year Review Process

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- Employees are encouraged to complete a self-assessment in InCompass, which will be reviewed by their rating official
- Rating official communicates rating –Discussions between employee and supervisor
- Employee acknowledges rating



# Year-End Review Process

- 1 Employees are encouraged to complete a self-assessment in InCompass that will be reviewed by their rating official (supervisor)
- 2 Rating official rates employee
- 3 Reviewing official reviews and approves rating
- 4 Rating official acknowledges rating by signing plan – Discussions between employees and supervisors should take place
- 5 Employee acknowledges rating by signing plan



# Completing EPPES Performance Plans

## EPPES Framework

The EPPES framework requires each employee to have exactly **5 critical elements** (the number of objectives under each CE depends upon the employee's individual assignments agreed to in the planning meetings held by the manager and supervisor). For all EPPES plans, at least 60 percent of the objectives overall must be Results-Oriented (RO) and meet the "SMART" standards.

### Two Required Departmentwide Elements:

1. **Collaboration** – The purpose of this element is to support the Department's strategic goals and mission requirements through **shared responsibility** while enabling the employee to engage with others for the purpose of producing greater value than could be produced when the employee acts alone. *Each program office may tailor this element through discussion with its PACS and EPPES employees.*
2. **Personal Investment** – The purpose of this element is to foster a culture of shared responsibility and collaboration between the employee and his/her supervisor as it relates to the employee's personal development and in shaping and supporting the mission of HUD. It is also intended to encourage the employee to embrace and advocate for employee engagement, continuous improvement and change. *Each program office may tailor this element for its PACS and EPPES employees.*

### Three Program/Job Specific Elements:

3. **APG Objectives or Book of Business** – Agency priority goals with measures and targets defined in the APP. *If no APG objective is applicable to an employee, Book of Business objectives may be substituted.*
- 4-5. **Book of Business** – Program Office and Support Office specific priority goals not identified as an APG, with measures and targets defined in Program Office and Support Office Operating Plans.

Examples for each performance level can be found below.

- **Level 5:** The employee considerably and consistently surpasses performance expectations and goals, and achieves beyond the regular assignment in all areas throughout the performance cycle. Performance is well above expectations in terms of completeness, timeliness, and independence; and employee demonstrates mastery of the skills and tasks involved. The employee regularly makes significant contributions to the Department's success well beyond work assignments through unique and exceptional application of knowledge. Other employees seek out the employee for assistance. The employee performs independently in planning, anticipating problems, and taking appropriate action when required. Thinks beyond the details of the job or project at hand and requires minimal to no supervision or follow-up.

- **Level 4:** The employee clearly and consistently surpasses performance expectations and goals, and demonstrates unique understanding of work well beyond job requirements. Work is done independently and completed on schedule with a high degree of accuracy and independence. Employee demonstrates quality performance consistently in their position. Errors in judgment are rare and seldom repeated. Performance is characterized by high achievement and initiative. The employee requires occasional supervision or follow-up.
- **Level 3:** The employee meets job performance standards in all areas. The employee is reliable in attaining expected results, and is timely and efficient. Initiative and outputs are generally adequate, and the employee is capable and knowledgeable in most aspects of his/her work. The employee may require some supervision.
- **Level 2:** The employee is not satisfactorily completing the assigned duties and needs to demonstrate improvement toward meeting performance standards. Work results are inconsistent and the employee requires close supervision.
- **Level 1:** The employee continuously fails to meet the expected level of performance standards or goals. The employee does not demonstrate the required knowledge or ability to perform the majority of assigned duties. The employee requires extensive supervision, direction, and follow-up.

# Completing PACS Performance Plans

## PACS Framework

Each PACS performance plan should include the following 5 critical elements. Each element should include one or more objectives that reflect the employee's work assignments during the performance period. The PACS employee and his/her supervisor should agree on the elements in planning meetings held prior to the development of the objectives and the critical elements. HUD's Core values must be imbedded in all PACS critical elements and standards to evaluate employee performance. For all PACS plans, at least 60 percent of the objectives overall must be Results-Oriented (RO) and meet the "SMART" standards.

**(Core Values: Accountability, Efficiency and Effectiveness, Fairness and Respect, Integrity, and Teamwork).**

### **Two Required Departmentwide Elements (supplemental guidance provided on page 27):**

1. **Cross-Office Collaboration** – This element measures the extent to which the PACS employee builds, and/or leverages networks within and across the offices to achieve departmental goals and objectives as assigned. In addition, this element measures the extent to which the employee creates a work environment that promotes fairness and respect, teamwork, and engagement among his or her employees. The PACS employee must identify, retain, and share key institutional knowledge within and across HUD's offices as a means of fostering greater cross-office collaboration.
2. **Personal Investment** – The purpose of this element is to foster a culture of shared responsibility and collaboration between the PACS employee and his/her supervisor in regard to the employee's professional development, and the professional development of her/his employees in support of HUD's mission. This element encourages the PACS employee to pursue continuous self-improvement in the areas of technical knowledge, leadership skills, and the practice of HUD's core values. The PACS employee is also responsible for fostering the professional development of his/her subordinates in their work areas. Professional development occurs through training, coaching, and mentoring and other on-the-job instructional, and demonstration methods. As part of this element, supervisors and managers must identify, and develop employees to assume key positions within the work unit, office, or other parts of the Department.

### **Three Program/Job Specific Elements:**

3. **APG or Operational Excellence Objective** – This element measures a PACS employee's effectiveness in carrying out high-priority assignments. Evaluation of performance under this element may include a work assignment that contributes directly to the Department's achievement of a goal defined in the Annual Performance Plan (APP) either as an Agency Priority Goal (APG) or as an agency transformational goal. If neither an APG nor an agency transformational goal is applicable to the manager, an operational excellence objective may be substituted. Operational excellence focuses on the extent to which the PACS employee



measures, adjusts, and improves work performance of his/her work unit or office to achieve performance objectives (*effectiveness*) and how the PACS employee utilizes personnel and other resources in achieving work unit or office performance objectives (*efficiency*).

The PACS employee must use metrics to measure effectiveness and efficiency of existing work unit or office performance, and propose new ways to achieve work unit or office improvements. In addition, the PACS employee must reward and recognize individual and team accomplishments, and innovation, to achieve greater effectiveness and efficiency in their work unit, office, or the Department. Further, the PACS employee must effectively monitor and address performance deficiencies to promote optimum performance. In achieving APGs or operational excellence, the PACS employee must adhere to HUD's core values in their professional work (*please see model examples of elements and standards for incorporating HUD's core values into performance standards and elements*).

4. **Book of Business** – This element measures a PACS employee's effectiveness in achieving Program Office and Support Office priority goals, targets and measures as defined in their annual Operating Plans (ex. PIH timeliness of obligations, OCPO customer service). The PACS employee must adhere to all of HUD's core values and the standards of operational excellence stated in critical element 3 above.
5. **Book of Business or APG Objective** – The 5th element is determined by the PACS employee's supervisor. It can measure the PACS employee's performance on meeting either an APG objective or additional Book of Business objective.

Examples for each performance level can be found below.

- **Level 5:** The manager completes deliverables ahead of schedule or before the established due date while maintaining high quality. Final deliverables are excellent and do not require revisions or involvement by supervisor. Demonstrates unusually high levels of creativity. Uses agency resources (time, money, talent) in an efficient and cost-effective manner; develops new ways to enhance productivity; reengineers processes to improve efficiency. Assesses and manages risk in the introduction of new and creative solutions to challenges. Is proactive in handling assignments. Seeks out new tasks and exhibits a concerted effort to deliver results well beyond what is expected. Anticipates problems/issues and brings new solutions to supervisor for future strategic action. Develops and maintains collaborative relationships with all levels of staff, customers, clients, and stakeholders both inside and outside the organization. Communicates extensively with internal and external stakeholders to ensure the success and acceptance of agency initiatives. Demonstrates team leadership skills.
- **Level 4:** The manager consistently meets deadlines; finishes deliverables ahead of schedule or faster than the established turnaround times. Deliverables are complete and thorough. Rarely needs revisions or further involvement by supervisors. Uses agency resources (time, money, talent) in an efficient and cost effective manner. Develops new ideas and solutions to meet challenges. Seeks out new tasks and works in a proactive manner in handling assignments. Exhibits efforts to complete assignments beyond what is expected at the Fully Successful level. Develops and maintains collaborative relationships with all levels of staff, customers, and clients both inside and outside the organization. Communicates with internal and external stakeholders to ensure the success and acceptance of agency initiatives. May exhibit team leadership skills.

- **Level 3:** The manager routinely meets deadlines; often finishes deliverables ahead of schedule or faster than established turnaround times. Deliverables are complete and thorough, needing minimal revisions or further involvement by supervisors. Uses agency resources (time, money, talent) in an efficient and cost effective manner. Brings new ideas and solutions to the attention of supervisor. Works in a proactive manner in handling assignments. Work products routinely result in what is expected at this level of performance. Develops and maintains collaborative relationships with all levels of staff, customers, and clients both inside and outside the organization. Communicates well at all levels and contributes to team efforts.
- **Level 2:** The manager has often missed deadlines. Deliverables are inaccurate; products generally require further analysis, development, or direction from supervisor. Agency resources (time, money, talent) are rarely used. Minimal effort is given toward building relationships with agency staff, customers, and clients.
- **Level 1:** The manager does not meet deadlines. The majority of deliverables are inaccurate and supervisory direction is either ignored or not sought out when there are problems. Does not make efficient use of agency resources (time, money, talent); uses more resources than is necessary to accomplish work, or does not take full advantage of existing resources; unproductive. Does not initiate action to engage with other staff, outside contacts or team members.

## FY 2017 PACS Performance Standards

### The goals of these performance standards are to:

- Support supervisor and managers in our collective effort to make HUD a best place to work;
- Support staff to excel and make HUD a more team-oriented, collaborative, and empowered place to work;
- Increase consistency, set expectations and hold all supervisors and managers to certain basic standards related to collaboration, training, and community focus; and
- Ensure the Personal Investment and Cross-Collaboration critical elements are more measurable and results-oriented.

## PART I: Personal Investment ALL Headquarters and Field Offices

### Guidance for Personal Investment Performance Standards

The purpose of these standards is to give HUD's managers and supervisors more opportunities to build their skills to better lead the workforce. Many supervisors and managers would like to take more training but too often do not have the funds or time available to do so. The language in the new FY 2017 PACS standards reflects an emphasis on ensuring that supervisors and managers make the time to develop their skills.

The Personal Investment performance standards can be met through trainings that are free of charge to the manager and program office. The only task for the PACS manager is to attend the trainings and to prioritize applicable trainings for their direct reports. The following performance standards are the same for the Field and Headquarters, and apply to all offices. **Additional standards may be added to this element.**

Note: For level 5 on standard #1, PACS managers need to demonstrate improvement for at least the two skills identified. Some examples of how PACS managers can demonstrate improvement include: getting feedback from their staff that their communication skills have improved; providing examples of how they have delegated more responsibility and tasks to their staff; describing how they used the techniques learned at a training to motivate their team, etc.

For standard #2, representatives from the Place-Based Executive Committee, in partnership with Field Working Groups, will be offering at least two free trainings within FY 2017 that will fulfill this performance standard requirement. As a part of this process, field personnel may either help create or participate in the training based on pre-existing skillsets and knowledge areas.

## Definitions

- **Soft skills:** The character traits and interpersonal skills that characterize a person's relationships with other people. In the workplace, soft skills are considered a complement to hard skills, which refer to a person's knowledge and occupational skills. The term "soft skills" is often associated with a person's "EQ" (Emotional Intelligence Quotient), the cluster of personality traits, social graces, communication, language, personal habits, interpersonal skills, managing people leadership, etc., that characterize relationships with other people.
- **Managerial Skills:** The ability to make business decisions and lead subordinates within an organization, and the ability to maintain high efficiency in the way his / her employees complete their everyday working tasks. The three most common skills include: 1) human skills - the ability to interact and motivate people for better accomplishments; 2) technical skills - the knowledge and proficiency in the trade; and 3) conceptual skills - the ability to understand concepts, develop ideas and implement strategies. Competencies include communication ability, response behavior and negotiation tactics.

### Examples of managerial skills include:

- Setting realistic and clear goals for employees that advance the mission of the organization
- Providing ongoing and constructive feedback to employees
- Understanding and articulating a clear vision for the organization
- Strategic thinking
- Delegation
- Time management
- Coordinating human and business resources together to achieve goals, reviewing progress along the way, and course-correcting when needed
- Determining next steps for each situation and delegating responsibilities to employees to achieve goals

**Technical Skills:** The knowledge and capabilities to perform specialized tasks in a specific field.

### Element Description

The purpose of this element is to foster a culture of shared responsibility and collaboration between the PACS manager and his/her supervisor in regard to the manager's professional development, and the professional development of his/her employees in support of HUD's mission. This element encourages the PACS manager to pursue continuous self-improvement in the areas of technical knowledge, leadership skills, and the practice of HUD's core values. The PACS manager is also responsible for fostering the professional development of his/her subordinates in their work areas. Professional development occurs through training, coaching, and mentoring, and other on-the-job instructional, and demonstration methods. As part of this element, supervisors and managers must identify, and develop employees to assume key positions within the work unit, office, or other parts of the Department.

### **Outstanding/Level 5:**

1. Following an assessment of needed skills, based on input from supervisor and/or subordinates and/or self-assessment, the manager participates in at least two trainings that enhance identified skills. These trainings/development seminars exceed the minimum number of training hours required, which is currently 8 hours.
  - a. The manager completes **at least one** training/development seminar to improve managerial or technical skills; and
  - b. The manager completes **at least one** training/development seminar to improve on interpersonal “soft” skills.

By the end of the rating period, the manager demonstrates enhancement of at least the two skills identified.

2. The manager actively participates in and prioritizes active participation for all direct reports in 2 or more professional development opportunities and/or trainings on collaborative, cross-program office and/or interagency approaches to working with communities, including free training provided through the Place-Based Executive Committee and local representatives. Active participation may include assisting with the development and execution of the training in local field offices and/or attending the trainings and actively participating in the discussion and workgroup activities that take place within them.

### **Fully Successful/Level 3:**

1. The manager completes at least one training/development seminar to improve managerial or technical skills. The manager completes **at least one** training/development seminar to improve on interpersonal “soft” skills. These trainings/development seminars meet the minimum number of training hours required, which is currently 8 hours.
2. The manager participates and prioritizes participation for all direct reports in one professional development opportunity or and training on collaborative, cross-program office and interagency approaches to working with communities, provided through the Place-Based Executive Committee and local representatives.

### **Unsuccessful/Level 1:**

1. The manager fails to complete **at least one** training/development seminar to improve managerial or technical skills. The manager fails to complete one training/seminar on interpersonal “soft” skills. These trainings/development seminars do not meet the minimum number of training hours required, which is currently 8 hours.
2. The manager fails to participate and prioritize participation for all direct reports in at least one professional development opportunity and/or training on collaborative, cross-program office and interagency approaches to working with communities, provided through the Place-Based Executive Committee and local representatives.

## **PART II: CROSS COLLABORATION**

### **SELECTED HEADQUARTERS AND FIELD OFFICES**

#### **Guidance for Cross Collaboration Performance Standards**

The performance standards contained within this critical element are supportive of integrated, holistic problem solving and the flexibility to move beyond a compliance role in pursuit of outcome-focused solutions. **The Cross-Collaboration standards were carefully designed to be inclusive of a supervisor or manager’s collaboration responsibilities and therefore should not be modified.** Because this element is measuring activity across and between offices, consistency of language is important in ensuring/monitoring consistent cross-collaborative activity.

#### **The Cross Collaboration Performance Standards are divided into two categories:**

1. Standards for Field Office managers in Community Planning and Development, Housing, Public and Indian Housing, Fair Housing and Equal Opportunity, and Field Policy and Management and
2. Standards for **Headquarters managers** in Community Planning and Development, Housing, Public and Indian Housing, Fair Housing and Equal Opportunity, and Field Policy and Management, as well as all managers in General Counsel, Policy Development and Research, and Healthy Homes and Lead Hazard Control regardless of where they are located.

#### **These standards are mandatory for the offices listed above. CXO offices are encouraged to utilize the standards under the Headquarters heading, but are not required to do so.**

Define with your supervisor attainable and collaborative projects to focus measurement on for the performance period. These projects will vary based on the grade-level and skill-sets of the manager. Projects may include cross-collaborative partnerships in service of community or stakeholder goals and challenges.

For example, in the Office of Housing, this may include integrated, context-sensitive support for distressed properties. In the Office of Fair Housing and Equal Opportunity, it may include proactive, holistic removal of barriers to inclusive zoning practices. Projects identified may also include providing cross-programmatic trainings on resources and procedures, or attending presentations on priority cross-programmatic efforts and offering feedback and information in support of those initiatives. In all cases, it means leveraging one’s knowledge of resources to maximize the potential of HUD’s offices to further HUD’s mission.

#### **Definitions**

**Cross-Program Collaborative Efforts in the Field:** The efforts referenced in the performance standards facilitate outcome-focused solutions for locally-driven initiatives. At the outstanding level, personal involvement or involvement of direct reports for at least three initiatives is mentioned. These initiatives may include those identified in Local Operating Plans and other field management tools, those prioritized by Field Working Groups, participation in or development of cross-programmatic trainings, etc.

**Field Working Groups:** Comprised of cross-programmatic Director-level personnel in the field who meet regularly and guide collaborative efforts that respond to local needs and align with HUD strategic goals.

**HQ-Field Team Meetings:** Regularly scheduled meetings between the Field and HQ within a program or support office. These generally occur at least once a quarter.

**Locally-driven initiatives:** Cross-programmatic efforts that respond to the goals and challenges of the communities and stakeholders HUD serves, within the bounds of HUD’s Mission.

**Place-Based Approach:** “Place-based” is the convergence of multiple strategies to respond to the challenges and barriers communities and stakeholders are facing, connecting them to resources and peers who can share best-practices in addressing challenges, targeting those resources geographically, and building on local initiatives that have already garnered broad stakeholder buy-in. Those working with a place-based approach:

- Not only ask, “How I can make my program successful in this community or project?” but “How can I help this community or project be successful with this program?”
- Are focused on outcomes, rather than only considering a project or initiative through a compliance lens.
- Do not only provide a “yes” or “no” answer to a compliance question, but take the time to understand the underlying goals of the request and direct the requester to relevant resources and information.
- Acknowledges the context in which an action or program is being implemented and the ripple effects that timing and other considerations have on that context, rather than responding to queries as if actions and programs exist in a vacuum.
- Enable communities and grantees to experience us as One HUD rather than as many, disjointed, inconsistent offices who do not seem to talk to one another.

**Place-Based Executive Committee (PBEC):** The PBEC is comprised of political and senior-level HUD personnel across program and support offices. The mission of the PBEC is to enhance collaboration and incorporate lessons learned from place-based initiatives into the way HUD does business to better support its staff, Federal partners, and the communities HUD serves in the delivery of its mission.

**In service of this mission, the PBEC has four core goals:**

1. Better align staffing, processes and tools to enhance collaboration among HUD staff doing place-based work in HQ and the Field,
2. Share and operationalize best-practices and lessons learned from place-based work into all programs and initiatives at HUD,
3. Enhance coordination with other federal partners, and
4. Provide more consistent and holistic partnership with communities to achieve locally-driven comprehensive planning and community development goals.

## **Cross-Collaboration Performance Standards for Field Offices**

### **Element Description**

This element measures the extent to which the PACS manager builds and/or leverages networks within and across the offices to achieve departmental goals and objectives as assigned. In addition, this element measures the extent to which the manager creates a work environment that promotes fairness and respect, teamwork, and engagement among his or her employees. The PACS manager must identify, retain, and share key institutional knowledge within and across HUD's offices as a means of fostering greater cross-office collaboration.

### **Outstanding/Level 5 – To attain this rating, the manager meets Level 3 and three (3) of the following performance standards:**

1. For at least 90 percent of applicable initiatives prioritized by Field Working Groups, which will include priorities identified by grantees and local partners and/or Secretarial initiatives, participates in and/or provides staff time in support of cross-program, collaborative efforts with RA/FOD/Local Program Offices within HUD, with other Federal partners, and/or with other state/local/and non-profit/private sector partners to facilitate outcome-based solutions for locally-driven initiatives.
2. At least 90 percent of the time, initiates communication with RA/FOD and/or appropriate Program Directors about program decisions and initiatives that may benefit from cross-program collaboration within HUD, with other Federal partners, and with other state/local/and non-profit/private sector partners.
3. Shares information about cross-program collaboration with all direct reports and provides opportunities for staff-level engagement in three or more cross-program collaborative efforts facilitating outcome-based solutions for locally-driven initiatives.
4. At least 90 percent of the time actively participates in and/or provides information for regularly scheduled Field Working Group meetings and joint program conference presentations/meetings, responds to informational requests in a timely fashion, and proactively collaborates with the RA/FOD/Local Program Offices to address HUD's Strategic Goals and local initiatives.

### **Fully Successful/Level 3 - To attain this rating, the manager meets the following:**

1. For at least 75 percent of applicable initiatives prioritized by Field Working Groups, which will include priorities identified by grantees and local partners and/or Secretarial initiatives, participates in or provides staff time in support of cross-program, collaborative efforts with RA/FOD/Local Program Offices within HUD, with other Federal partners, and/or with other state/local/and non-profit/private sector partners to facilitate outcome-based solutions for locally-driven initiatives.
2. At least 75 percent of the time, initiates communication with RA/FOD and/or appropriate Program Directors about program decisions and initiatives that may benefit from cross-program collaboration within HUD, with other Federal partners, and with other state/local/and non-profit/private sector partners.
3. Shares information about cross-program collaboration with most direct reports and provides opportunities for staff-level engagement in one cross-program collaborative effort facilitating outcome-based solutions for locally-driven initiatives.
4. At least 75 percent of the time, actively participates in and/or provides information for regular-



ly scheduled Field Working Group meetings and joint program conference presentations/meetings, responds to informational requests in a timely fashion, and proactively collaborates with the RA/FOD/Local Program Offices to address HUD's Strategic Goals and local initiatives.

**Unsuccessful/Level 1 – To attain this rating, the manager meets the following:**

1. For at least 50 percent of the applicable initiatives prioritized by Field Working Groups, which will include priorities identified by grantees and local partners and/or Secretarial initiatives, fails to participate in or provide staff time in support of cross-program, collaborative efforts with RA/FOD/Local Program Offices within HUD, with other Federal partners, and/or with other state/local/and non-profit/private sector partners to facilitate outcome-based solutions for locally-driven initiatives.
2. At least 50 percent of the time, fails to initiate communication with RA/FOD and/or appropriate Program Directors about program decisions and initiatives that may benefit from cross-program collaboration within HUD, with other Federal partners, and with other state/local/and non-profit/private sector partners.
3. Fails to share information about cross-program collaboration with direct reports and provide opportunities for staff-level engagement in one cross-program collaborative effort facilitating outcome-based solutions for locally-driven initiatives.
4. At least 50 percent of the time, fails to actively participate in and/or provide information for regularly scheduled Field Working Group meetings and joint program conference presentations/meetings, fails to respond to informational requests in a timely fashion, and fails to proactively collaborate with the RA/FOD/Local Program Offices to address HUD's Strategic Goals and local initiatives.

**Cross-Collaboration Performance Standards for Headquarters**

**Outstanding/Level 5 – To attain this rating, the manager meets Level 3 and at least four (4) of the following performance standards:**

1. For 90 percent of all program decisions and initiatives for which the field will play a central role in implementing and/or monitoring, manager collaborates with and seeks input from field leadership at key stages of development.
2. Proactively identifies and participates in at least two opportunities for coordination or collaboration with internal and/or external stakeholders to improve HUD operations and/or further departmental or program goals.
3. Consistently demonstrates a high degree of cooperation and collaboration with field staff and HQ staff outside of program office. Actively participates in and/or appoints a representative to actively participate in 90 percent of regularly scheduled HQ-Field team meetings and presentations and brings in other relevant program offices to elicit meaningful discussions to produce outcome-oriented results that extend beyond programmatic bounds.
4. Ensures direct reports respond to internal and external informational and policy determination requests within agreed upon time frames, as determined by the program office where applicable, at least 90 percent of the time.
5. For 90 percent of all instances, notifies key HUD field staff (such as field program directors and/or staff whose grantees are impacted) regarding topics that will impact them or their grant-

ees such as waivers, final notices, data system updates, and other relevant key announcements before notifying or communicating with the public, HUD grantees or industry partners.

**Fully Successful/Level 3 - To attain this rating, the manager meets all of the following:**

1. For 75 percent of all program decisions and initiatives for which the field will play a central role in implementing and/or monitoring, manager collaborates with and seeks input from field leadership at key stages of development.
2. Proactively identifies and participates in at least one opportunity for coordination or collaboration with internal and/or external stakeholders to improve HUD operations and/or further departmental or program goals.
3. Demonstrates a high degree of cooperation and collaboration with field staff and HQ staff outside of program office. Actively participates in or appoints a representative to actively participate in 75% of regularly scheduled HQ-Field team meetings and presentations and brings in other relevant program offices to elicit meaningful discussion to produce outcome-oriented results that extend beyond programmatic bounds.
4. Ensures direct reports respond to internal and external informational and policy determination requests within agreed upon time frames, as determined by the program office where applicable, at least 75 percent of the time.
5. For 75 percent of all instances, notifies key HUD field staff (such as field program directors and/or staff whose grantees are impacted) regarding topics that will impact them or their grantees such as waivers, final notices, data system updates, and other relevant key announcements before notifying or communicating with the public, HUD grantees or industry partners.

**Unsuccessful/Level 1 – To attain this rating, the manager meets the following:**

1. For 50 percent of program decisions and initiatives for which the field will play a central role in implementing and/or monitoring, manager fails to collaborate with and seek input from field leadership at key stages of development.
2. Fails to proactively identify and participate in at least one opportunity for coordination or collaboration with internal and/or external stakeholders to improve HUD operations and/or further departmental or program goals.
3. Fails to demonstrate a high degree of cooperation and collaboration with field staff and HQ staff outside of program office. Fails to actively participate in or appoint a representative to actively participate in 50 percent of regularly scheduled HQ-Field team meetings and presentations and bring in other relevant program offices to elicit meaningful discussion to produce outcome-oriented results that extend beyond programmatic bounds.
4. Fails to ensure direct reports respond to internal and external informational and policy determination requests within agreed upon timeframes, as determined by the program office where applicable, at least 50 percent of the time.
5. For 50 percent of all instances, fails to notify key HUD field staff (such as field program directors and/or staff whose grantees are impacted) regarding topics that will impact them or their grantees such as waivers, final notices, data system updates, and other relevant key announcements before notifying or communicating with the public, HUD grantees or industry partners.

# PACS/EPPEs

## Performance Plan Checklist

The Performance Management Framework defines five specific criteria to establish a performance plan. Before you sign your plan, review the following to ensure that your plan meets the requirements:

### **Plan**

Ensure that you have 5 critical elements; include one personal investment and one collaboration element.

### **Define**

Ensure that each critical element has performance standards defined at Level 5, Level 3, and Level 1.

### **Cascade**

Ensure that each critical element cascades from your Rating Official's performance plan by aligning all of your critical elements to one of your Rating Official's critical elements.

### **Align**

Ensure that your work is aligned to one of HUD's Strategic Alignment Sources by selecting from the Strategic Alignment Source dropdown box in InCompass.

### **Review and Sign**

To establish the plan, the Rating Official, Reviewing Official, and the employee must complete the Establish Performance Plan task in InCompass by reviewing, acknowledging, and signing the performance plan.

## Completing SL/ST Performance Plans

Performance appraisal plans that describe the individual and organizational expectations for the appraisal period must be established for all SL/ST members. Performance plans set the requirements against which performance will be evaluated. They must be developed in consultation with the executives and communicated to them on or before the beginning of the appraisal period. Performance appraisal plans include critical elements, performance requirements and performance standards, and must be recorded on the SL/ST Executive Performance Agreement.

**A. Critical Elements.** A critical element is a key component of an executive's work that contributes to organizational goals and results and is so important that unsatisfactory performance of the element would make the executive's overall job performance unsatisfactory. There are five critical elements in each senior executive's performance appraisal plan:

1. Critical Element 1 – Leading Change
2. Critical Element 2 – Technical Leadership
3. Critical Element 3 – Program/Project Management
4. Critical Element 4 – Building Coalitions
5. Critical Element 5 – Results Driven

Supervisors must establish performance plans for senior executives in consultation with the senior executives and communicate the plans to them on or before the beginning of the rating period. Each senior executive's performance plan shall include, at a minimum, the following critical elements and performance requirements:

- **Leading Change**

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

- **Technical Leadership**

Non-Supervisory Only: Demonstrates excellence in a technical field, coaches and mentors employees, and focuses the efforts of diverse groups to achieve a common goal. Organizes and leads activities to apply technology or program or functional expertise and to foster technical maturation and technology transition while ensuring customer satisfaction and perspective. Integrates across broad system areas to coordinate and focus the activities of other technical experts in support of Agency knowledge, capabilities and/or techniques.

Supervisory Only: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee and customer input, taking into consideration both customer and employee perspectives. Recruits, retains, and develops the talent needed to achieve a high-quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

- **Program/Project Management**

Ensures that programs/projects within areas of specific responsibilities are managed/implemented/completed in a timely, efficient and effective manner that meets objectives. Monitors and evaluates the organization, focuses on established organizational goals, results, and measures the attainment of outcomes. Assures that effective controls are developed and maintained to ensure the integrity of the applicable program/project functions within the organization.

- **Building Coalitions**

Solicits and considers feedback from internal and external stakeholders or customers.

**Coordinates** with appropriate parties to maximize input from the widest range of appropriate stakeholders to **facilitate an open exchange** of opinion from diverse groups and **strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner** and negotiates with individuals and groups internally and externally, as appropriate. **Develops a professional network with other organizations** and identifies the internal and external politics that affect the work of the organization.

- **Results Driven**

This critical element includes specific performance requirements expected of the SL/ST employee during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2. The Results Driven Critical Element must be weighted at 60 percent.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

**At a minimum, the performance plan must include at least one performance requirement (including measures, targets, timelines, or quality descriptors as appropriate) describing the range of performance at Level 3, Level 4, and Level 5 for each result specified. Additional performance requirements may be included.**

For the performance requirement, enter a Strategic Goal, Strategic Objective, Agency Priority Goal (APG) or Book of Business (BOB) performance requirement. The performance requirement should contain the following:

- (1) Specific Outcome (the result)
- (2) Results Target (Measure of outcome expressed as a “source of measurement data” (i.e., how much, by when, how well, etc.) written at Levels 3, 4, and 5. For example, number of reports, policy/program initiatives completed once, quarterly, or bi-annually, etc.

The Results Driven Critical Element will be determined by assessing the SL/ST employee’s accomplishments in at least one performance requirement. Additional performance requirements may be included. The rating official, in consultation with the SL/ST employee, will identify the performance requirement(s), complete with standards, which demonstrate direct linkage with the agency’s strategic plan for which the SL/ST employee will be held accountable. The establishment and assessment of the Results Driven element is a three-step process:

- At the beginning of the appraisal period, assign a weight to each performance requirement. Do this in consultation with your rating official. The total weight of all performance requirements must equal 100 percent.
- At rating year end, the rating official shall assess the SL/ST employee’s accomplishments for each individual performance requirement based on the performance standards provided and assign a rating level to each individual performance requirement. Once a rating level for each individual performance requirement is determined, a point value will be assigned to each performance requirement as follows:

Level 5 = 5 points  
Level 4 = 4 points  
Level 3 = 3 points  
Level 2 = 2 points  
Level 1 = 1 point

- A point total will be determined for each individual performance requirement by multiplying the weight times its assigned point value. The points for each individual performance requirement are then totaled. See example below:

<b>Performance Requirement</b>	<b>Weight</b>	<b>Assigned Rating</b>	<b>Point Value</b>	<b>Total</b>
#1	10%	Level 3	3	10 x 3 = <b>30</b>
#2	10%	Level 4	4	10 x 4 = <b>40</b>
#3	10%	Level 3	3	10 x 3 = <b>30</b>
#4	10%	Level 3	3	10 x 3 = <b>30</b>
#5	60%	Level 5	5	60 x 5 = <b>300</b>
<b>Total</b>	<b>100%</b>			<b>430</b>

The overall rating for Critical Element 5 will be the rating determined using the rating scale below by assigning the level based on the total points derived from the performance requirements:

**Critical Element 5 Rating Scale**

- 475-500 = Level 5
- 400-474 = Level 4
- 300-399 = Level 3
- 200-299 = Level 2
- Any performance requirement rated Level 1 = Level 1

In the example above, 430 points, using the rating scale provided, falls in the Level 4 range. Therefore, the overall rating for Critical Element 5 is Level 4.

Deriving the Summary Rating for the SL/ST Cadre of Employees:

The SL/ST Performance Accountability and Communication System uses a 5-tier rating system to evaluate the performance of the Department’s senior professionals:

- Level 5 – Outstanding
- Level 4 – Exceeds Fully Successful
- Level 3 – Fully Successful
- Level 2 – Minimally Satisfactory
- Level 1 – Unsatisfactory

**Critical Element (CE) Point Values.** Once the rating for each critical element is determined, the following point values will be assigned to element ratings:

- o Level 5 = 5 points
- o Level 4 = 4 points
- o Level 3 = 3 points
- o Level 2 = 2 points
- o Level 1 = 0 points

**Critical Element (CE) Weight Values.** Each critical element must be assigned a weight value, with the total weights adding to 100 points. The following OPM minimum weight requirements are applicable:

- The minimum weight that can be assigned to the Results Driven critical element is 60 percent
- The weight that is assigned to the other four critical elements is 10 percent.

- No single performance element can be assigned a greater weight than the Results Driven element.
- Weighting for critical elements may vary from year to year as authorized by the Deputy Secretary with the exception of the Results Driven critical element which must remain at 60 percent.

**Derivation Formula.** The derivation formula is calculated as follows:

- If any critical element is rated Level 1 (Unsatisfactory), the overall summary rating is Unsatisfactory. If no critical element is rated Level 1 (Unsatisfactory), continue to the next step.
- For each critical element, multiply the point value of the element rating by the weight assigned to that element.
- Add the results from the previous step for each of the five critical elements to come to a total score.
- Assign the initial summary rating using the ranges below:

475-500 = Level 5

400-474 = Level 4

300-399 = Level 3

200-299 = Level 2

Any critical element rated Level 1 = Level 1

Example with the initial summary rating determined to be Level 3 ( Fully Successful):

Critical Element	Rating Level	Weight	Score	Derivation Formula
	Initial Element Score		Initial Point Score	
Leading Change	4	10	4 x 10 = 40	475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
Technical Leadership	5	10	5 x 10 = 50	
Program/ Project Management	3	10	3 x 10 = 30	
Building Coalitions	4	10	4 x 10 = 40	
Results Driven	3	60	3 x 60 = 180	
<b>Total</b>		<b>100%</b>	<b>340</b>	

**The annual summary rating levels are described as follows:**

**Level 5 - Outstanding:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive’s organization, agency, department



or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way. Performance may be demonstrated in such ways as the following examples:

- Overcomes unanticipated barriers or intractable problems by developing creative solutions that address program concerns that could adversely affect the organization, agency, or Government.
- Through leadership by example, creates a work environment that fosters creative thinking and innovation; fosters core process re-engineering; and accomplishment of established organizational performance targets.
- Takes the initiative to identify new opportunities for program and policy development and implementation or seeks more opportunities to contribute to optimizing results; takes calculated risks to accomplish organizational objectives.
- Accomplishes objectives under demands and time pressure beyond those typically found in the executive environment.
- Achieves results of significant value to the organization, agency, or Government.
- Achieves significant efficiencies or cost-savings in program delivery or in daily operational costs of the organization.

**Level 4 – Exceeds Fully Successful:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable. Performance may be demonstrated in such ways as the following:

- Advances progress significantly toward achieving one or more strategic goals.
- Demonstrates unusual resourcefulness in dealing with program operations or policy challenges.
- Achieves unexpected results that advance the goals and objectives of the organization, agency, or Government.

**Level 3 – Fully Successful:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position. Performance may be demonstrated in such ways as the following:

- Seizes opportunities to address issues and effects change when needed.
- Finds solutions to serious problems and champions their adoption.

- Designs strategies leading to improvements.

**Level 2 – Minimally Satisfactory:** The executive’s contributions to the organization are acceptable in the short-term, but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

**Level 1 – Unsatisfactory:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce—or produces unacceptable—work products, services, or outcomes.

# Completing EPACS Performance Plans

## General instructions

Performance appraisal plans that describe the individual and organizational expectations for the appraisal period must be established for all SES members. Performance plans set the requirements against which performance will be evaluated. They must be developed in consultation with the executives and communicated to them on or before the beginning of the appraisal period. Performance appraisal plans include critical elements, performance requirements and performance standards, and must be recorded on the Senior Executive Performance Agreement.

**A. Critical Elements.** A critical element is a key component of an executive's work that contributes to organizational goals and results and is so important that unsatisfactory performance of the element would make the executive's overall job performance unsatisfactory. There are five critical elements in each senior executive's performance appraisal plan:

- Critical Element 1 – Leading Change
- Critical Element 2 – Leading People
- Critical Element 3 – Business Acumen
- Critical Element 4 – Building Coalitions
- Critical Element 5 – Results Driven

Supervisors must establish performance plans for senior executives in consultation with the senior executives and communicate the plans to them on or before the beginning of the rating period. Each senior executive's performance plan shall include, at a minimum, the following critical elements and performance requirements:

### Leading Change

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

### Leading People

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback,

and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

### **Business Acumen**

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

### **Building Coalitions**

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

### **Results Driven**

This critical element includes specific performance requirements expected of the SES employee during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

For all EPACS, 100 percent of Critical Element 5, Results Driven performance requirements/objectives must be SMART and demonstrate measurable results. Executives must have 3-5 Result Driven performance requirements.

There are five specified critical elements (CE) – no more, no less. The number of performance requirements/objectives under each Critical Element depends on work assignments and is determined in planning meetings between the executive and rating official.

For all EPACS, 100 percent of Critical Element 5 performance requirements/objectives must be SMART and demonstrate measurable results.

A five-point scale will be used to evaluate performance for each critical element with '5' being the most successful. Standards for each performance requirement under Critical Element 5 must be set by

discussion between the Executive and rating official.

HUD's Core values must be imbedded in all EPACS critical elements and standards to evaluate employee performance. (Core Values: Accountability, Efficiency and Effectiveness, Fairness and Respect, Integrity, and Teamwork).

Deriving the Summary Rating for the SES Cadre of Employees:

EPACS uses a 5-tier rating system to evaluate the performance of the Department's senior executives:

Level 5 – Outstanding

Level 4 – Exceeds Fully Successful

Level 3 – Fully Successful

Level 2 – Minimally Satisfactory

Level 1 – Unsatisfactory

**Critical Element (CE) Point Values.** Once the rating for each critical element is determined, the following point values will be assigned to element ratings:

Level 5 = 5 points    Level 4 = 4 points    Level 3 = 3 points    Level 2 = 2 points    Level 1 = 0 points

**Critical Element (CE) Weight Values.** Each critical element must be assigned a weight value, with the total weights adding to 100 points. The following OPM minimum weight requirements are applicable:

- The minimum weight that can be assigned to the Results Driven critical element is 20 percent.
- The minimum weight that can be assigned to the other four critical elements is 5 percent.
- No single performance element can be assigned a greater weight than the Results Driven element.

Weighting for critical elements will vary year to year as authorized by the Deputy Secretary.

**Derivation Formula.** The derivation formula is calculated as follows:

- If any critical element is rated Level 1 (Unsatisfactory), the overall summary rating is Unsatisfactory. If no critical element is rated Level 1 (Unsatisfactory), continue to the next step.
- For each critical element, multiply the point value of the element rating by the weight assigned to that element.
- Add the results from the previous step for each of the five critical elements to come to a total score.

Assign the initial summary rating using the ranges below:

475-500 = Level 5

400-474 = Level 4

300-399 = Level 3

200-299 = Level 2

Any critical element rated Level 1 = Level 1

Example with the initial summary rating determined to be Level 4 (Exceeds Fully Successful):

Critical Element	Element Rating	Weight	Point Score	Derivation Formula
Leading Change	4	15	4 x 15 = 60	475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1 Weight
Leading People	5	15	5 x 15 = 75	
Business Acumen	3	10	3 x 10 = 30	
Building Coalitions	4	10	4 x 10 = 40	
Results Driven	4	50	4 x 50 = 200	
Total		100	405	
Critical Element			Element Rating	

**The annual summary rating levels are described as follows:**

- Level 5 - Outstanding:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive’s organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization’s mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way. Performance may be demonstrated in such ways as the following examples:

  - Overcomes unanticipated barriers or intractable problems by developing creative solutions that address program concerns that could adversely affect the organization, agency, or Government.
  - Through leadership by example, creates a work environment that fosters creative thinking and innovation; fosters core process re-engineering; and accomplishment of established organizational performance targets.
  - Takes the initiative to identify new opportunities for program and policy development and implementation or seeks more opportunities to contribute to optimizing results; takes calculated risks to accomplish organizational objectives.
  - Accomplishes objectives under demands and time pressure beyond those typically found in the executive environment.

- Achieves results of significant value to the organization, agency, or Government.
- Achieves significant efficiencies or cost-savings in program delivery or in daily operational costs of the organization.
- **Level 4 – Exceeds Fully Successful:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive’s position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable. Performance may be demonstrated in such ways as the following:
  - Advances progress significantly toward achieving one or more strategic goals.
  - Demonstrates unusual resourcefulness in dealing with program operations or policy challenges.
  - Achieves unexpected results that advance the goals and objectives of the organization, agency, or Government.
- **Level 3 – Fully Successful:** The executive demonstrates the high level of performance expected and the executive’s actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position. Performance may be demonstrated in such ways as the following:
  - Seizes opportunities to address issues and effects change when needed.
  - Finds solutions to serious problems and champions their adoption.
  - Designs strategies leading to improvements.
- **Level 2 – Minimally Satisfactory:** The executive’s contributions to the organization are acceptable in the short-term, but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1 – Unsatisfactory:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce—or produces unacceptable—work products, services, or outcomes.

## S.M.A.R.T. Performance Elements and Standards

S.M.A.R.T. stands for:

**S**pecific – The elements in the employee’s Performance Plan need to clearly identify what will be accomplished – that is, the results that the employee is aiming for should be the central focus of each element.

**M**easurable – The element should have clearly defined measures, which will allow both the employee and the supervisor to know that the requirement has been achieved. The supervisor should communicate to the employee how the results will be determined.

**A**ttainable – All elements must be achievable. The employee and supervisor should create a situation where the employee has a reasonable expectation of achieving his/her goal, given the necessary resources (training time, support) to perform the required level.

**R**elevant - Critical elements and standards are to be aligned with the goals of the Department and the mission of the organization. The supervisor should communicate to the employee how his/her role contributes to the success of the organization and how their elements reflect that contribution.

**T**ime-bound – For each element, the employee should be aware when the expected results is to be achieved; elements should include milestones or a schedule and all due dates should be clearly communicated so that the employee will have an understanding of what is expected.

EXAMPLE: Mortgage Application Processing Example

Not Specific: Develop a new procedure.

Specific: Develop a new mortgage application processing procedure.

Not measurable: Develop a new mortgage application processing procedure.

Measureable: Develop a new procedure to decrease mortgage application processing time by one week.

Not attainable: Develop a new mortgage processing procedure for all mortgage companies.

Attainable: Develop a new mortgage processing procedure for our branch.

Not relevant: Develop a new process to categorize mortgage applications sorted by yard size of house.

Relevant: Develop a new process to categorize mortgage applications sorted by loan type for faster loan processing.

Not time-bound: Analyze work flow and eliminate steps to show a 5percent decrease in current mortgage processing time.

Time-bound: Analyze work flow and eliminate steps to show a 1 week decrease in current mortgage processing time by March 1st, XXXX.



# Guide to Writing Self-Assessments

## What is a self-assessment?

A self-assessment is an employee's opportunity to provide a narrative description of their major accomplishments related to the performance elements and associated performance standards in their performance plan. In a self-assessment, the employee can describe their major contributions and how they accomplished or did not accomplish their performance expectations. Additionally, accomplishments may include other achievements or recognition achieved during the performance year and training and developmental needs. *Note: The rating is based on the substance of the contribution, not how well the contribution is described.* Providing the self-assessment does not negate the supervisor's responsibility to provide a narrative of an employee's accomplishments to support the end-of-year rating.

## Suggestions for writing the self-assessment:

1. If you have difficulty identifying your accomplishments or special strengths for a self-assessment, think about what makes you proud in your work. Often these things- calming anxious visitors, solving systems problems, mentoring new employees, coaching or counseling others, writing reports-will help you identify your accomplishments.
2. Use the STAR method. In self-assessments, you must write convincingly about your accomplishments, strengths, and skills-that is, to write about yourself as a "star" performer. To do that successfully, use the STAR method. This method involves briefly describing a situation (S) and task (T), the action (A) you took to accomplish it, and the results (R) you achieved. Be sure to consider actions which fall into these categories when deciding upon your STAR actions: the degree of difficulty, one of a kind, first-time, high-visibility, large volume of work, deadlines, competing priorities, innovation required, scope and impact for the work you performed.

### **Example 1:**

When I started as a branch manager, annual employee turnover was 25 percent. I implemented an employee satisfaction survey and suggestion program, established coaching plans for supervisors, and instituted a weekly staff meeting. As a result of these efforts, the employee turnover rate is now 10 percent.

### **Example 2:**

My challenge was to train staff in the new software by the opening of business on Monday, about 3 work days. I designed, planned, and managed around-the-clock training using classroom instructors, online learning, and targeted job aids. On Monday morning, 96 percent of employees reporting to work had been trained on the new system.

3. Use specific examples. Specific examples add credibility. Although words like outstanding, dependable, and creative are positive, they do not always paint a convincing picture. Instead of stating that you "always maintain good customer relations," cite customer-satisfaction surveys, letters of communication, and the absence of any customer complaints about you.

4. Use numbers or metrics whenever possible. Numbers are concrete. They communicate a clear picture. By contrast, a “large staff” may be 20 or 200. If you are in charge of a large staff, budget, or region, use numbers to show how large it is. Alternatively, state specifically how long you have managed it.
5. Do not exaggerate or lie, even a tiny bit. Your self-assessment should make you feel proud and help you speak confidently in a performance discussion. Exaggerations or misstatements will not give you confidence, in addition to their obvious ethical implications.
6. Use the word “I.” Many people have been taught in business or technical writing classes not to use the pronoun “I.” In some instances that may be useful advice, but in a self-assessment it does not make sense. Feel free to write, “I hired 200 interns” or “I wrote the final draft.” If you participated in a successful group effort, you are still justified in using “I”: “With my team members, I won the Corporate Communications award in 2004.” Vary your sentence structure if you find that you have too many sentences beginning with “I.” Change “I reduced turnaround time by 20 percent within a year” to “Within a year; I reduced turnaround time by 20 percent.”
7. Give relevant information. Most self-assessments include specific categories: mission support, program management, teamwork, communication, customer service, problem solving, and so on. Be sure that the examples you give match the category; otherwise, they lose power. Be factual, specific and concise. The self-assessment does not need to be very long. Summarize and highlight your important contributions. (As a guideline – write a maximum of two pages per performance element.)
8. Explain value. Be sure to tie results to organizational goals. For example, as the new ethics coordinator at your organization, you may have conducted 40 ethics briefings in your first three months. The number sounds impressive, but what does it mean? Is there a correlation between your briefings and a reduction in violations or incidents? Whenever possible, translate your hard work into results your reader will value. Consider “negative data” to illustrate your effectiveness-information such as the absence of on-the-job violations, lawsuits, and grievances.
9. Enlist the help of friend. When you have drafted your self-assessment, ask a friend to review it and answer these types of questions:
  - Are my examples specific?
  - Have I described my strengths accurately?
  - Is every statement clear?
  - Does every statement sound believable?
  - Is all the content pertinent?
  - Have I missed any relevant strengths or accomplishments?

### **Guidelines for writing the self-assessment:**

- Restate your performance elements.
- Highlight the most significant achievements related to the element for the rating cycle. Remember the self-assessment does not need to be lengthy but highlight what mattered most during the rating cycle.
- Make the connection between what was done and why it matters to the organization.
- Cite instances where your actions/performance/conduct exemplified or exceeded the performance standards.
- Note the challenges you faced and how you responded to those challenges. Overcoming challenges is an important part of the overall performance rating. Challenges may be technical or interpersonal in nature. They may also involve the ability to succeed despite limited resources or difficult circumstances.

### **Suggestions for Tracking Accomplishments:**

1. Maintain an ongoing record, or journal, of major achievements throughout the appraisal cycle. By documenting major achievements as they occur, you have ready access to the information needed to complete the self-assessment. Create a system to capture accomplishments such as:
  - Email folder
  - Word document
  - Notes on planner or calendar
  - File folder for each performance element
2. Document progress on a regular basis (for example-weekly) and maintain copies of important work products for your file.
  - Reports
  - Training
  - Metrics
  - Correspondence including thanks from customers or supervisors

Remember, completing a self-assessment is not a requirement, but is your opportunity for you to provide your supervisor information about the performance goals and accomplishments you achieved, the challenges you faced, and the training and development you desire.

**Possible Accomplishments:**  
**Which of the following did you accomplish?**

Accomplish more with the same  
Accomplish more with other  
Accomplish the same thing with less  
Create something from scratch  
Develop a new process  
Do what could not be done  
Enlarge a market  
Enlarge capacity  
Establish a new procedure  
Find a cheaper solution  
Find a new market  
Find a new opportunity  
Find an easier solution  
Foresee a need  
Foresee a problem  
Foresee an opportunity  
Improve customer relations  
Improve customer satisfaction  
Improve employee relations  
Improve labor/management relations  
Improve maintainability  
Improve quality  
Improve reliability  
Improve teamwork  
Increase market share  
Increase profits  
Increase sales  
Make fewer bad things happen  
Make more good things happen  
Make things easier  
Make things smoother  
Overcome obstacles  
Prevent a problem  
Protect against a hazard  
Provide new resources  
Receive an award  
Reduce costs  
Reduce errors  
Reduce losses  
Save the day  
Solve a chronic problem  
Speed things up

**Action Verbs for Writing a Self-Assessment:**

Accelerated Accomplished Achieved Acted Activated Adapted Addressed Adjusted Administered  
Advanced Advertised Advised Advocated Aided Allocated Analyzed Answered Applied Appraised  
Approved Arbitrated Arranged Ascertained Assembled Assessed Assigned Assisted Attained  
Augmented Authorized Awarded

Balanced Began Boosted Briefed Budgeted Built

Calculated Captured Cataloged Centralized Chaired Charted Checked Clarified Classified Coached  
Collaborated Collected Combined Communicated Compared Compiled Completed Composed  
Computed Conceived Conceptualized Condensed Conducted Conferred Conserved Consolidated  
Constructed Consulted Contacted Continued Contributed Controlled Converted Conveyed  
Convinced Coordinated Corresponded Counseled Created Critiqued Cultivated Customized

Debugged Decided Defined Delegated Delivered Demonstrated Designated Designed Detected  
Determined Developed Devised Diagnosed Directed Discovered Dispensed Displayed Dissected  
Distributed Diverted Documented Drafted

Earned Edited Educated Effected Eliminated Emphasized Employed Encouraged Enforced  
Engineered Enhanced Enlarged Enlisted Ensured Entertained Established Estimated Evaluated  
Examined Executed Expanded Expedited Experimented Explained Explored Expressed Extended  
Extracted

Fabricated Facilitated Fashioned Finalized Fixed Focused Forecasted Formed Formulated Fostered  
Found Fulfilled Furnished

Gained Gathered Generated Governed Grossed Guided

Handled Headed Heightened Helped Hired Honed Hosted Hypothesized Identified Illustrated  
Imagined Implemented Improved Improvised Incorporated Increased Indexed Influenced Informed  
Initiated Innovated Inspected Inspired Installed Instituted Integrated Interacted Interpreted  
Interviewed Introduced Invented Inventoried Investigated Involved Issued

Joined Judged

Kept

Launched Learned Lectured Led Lifted Listened Located Logged

Maintained Managed Manipulated Marketed Maximized Measured Mediated Merged

Mobilized Modified Monitored Motivated

Navigated Negotiated Netted

Observed Obtained Opened Operated Ordered Orchestrated Organized Originated Outlined  
Overcame Overhauled Oversaw

Participated Performed Persuaded Photographed Pinpointed Piloted Pioneered Placed Planned  
Played Predicted Prepared Prescribed Presented Presided Prevented Printed Prioritized Processed  
Produced Programmed Projected Promoted Proofread Proposed Protected Proved Provided Publicized  
Purchased

Qualified Questioned

Raised Ran Rated Reached Realized Reasoned Received Recommended Reconciled Recorded  
Recruited Reduced Referred Regulated Rehabilitated Related Remodeled Rendered Reorganized  
Repaired Replaced Reported Represented Researched Reshaped Resolved Responded Restored  
Retrieved Reviewed Revised Revitalized Routed

Saved Scheduled Screened Searched Secured Selected Separated Served Shaped Shared Simplified  
Simulated Sketched Sold Solved Sorted Spearheaded Specialized Specified Spoke Sponsored  
Staffed Standardized Started Streamlined Strengthened Structured Studied Suggested Summarized  
Supervised Supplied Supported Surpassed Surveyed Sustained Synthesized Systematized

Targeted Taught Terminated Tested Tightened Totaled Tracked Traded Trained Transcribed  
Transformed Transmitted Translated Traveled Tutored

Uncovered Undertook Unified United Updated Upgraded Used Utilized

Validated Verbalized Verified Vitalized Volunteered

Weighed Widened Won Worked Wrote

## Mid-Year Progress Review Meetings

- Employees shall have at least one in-person (or, when not possible, by telephone) progress review meeting in the middle of the appraisal period, which shall take place in April-May.
- Progress review means a review of the employee's progress toward achieving the performance standards and is not in itself a rating.
- The goal of this meeting is to help the employee and the supervisor move forward to the greatest achievement possible by the end of the year.
- The employee will be encouraged to prepare a list of accomplishments of their performance to-date for discussion.
- The employee and the supervisor discuss the elements, standards and accomplishments to give the employee an assessment of performance to-date.
- The supervisor will provide helpful guidance and encouragement and, if there are performance concerns, they will be clearly stated and supported with specific instructions for what improvements or changes are needed.
- If training is required, the supervisor and employee will agree to work together on obtaining and scheduling the training.
- There is no requirement for written documentation of progress review feedback, unless the employee's performance is determined to be below level 3 for any critical element.
- The appraisal form shall be marked by the rating official and the employee to indicate that the meeting was held.
- Employees may request informal, specific feedback on their performance at other times during the performance period. Supervisors are encouraged to provide informal feedback at any time during the performance period.
- In the meeting, the supervisor may request that the employee give him/her informal feedback in such areas as the supervisor's efforts: (1) to clearly communicate objectives and expectations; and (2) to provide constructive feedback. This is intended to allow managers and staff to jointly improve performance and communication for the rest of the year and beyond.
- The supervisor and the employee should by the end of the meeting have an objective and clear path for the employee's expected performance.

## Final Ratings

Activities associated with the delivery of final ratings for employees under both PACS and EPPES include, but are not limited to, the following:

- Conduct formal one-on-one discussions with employees to provide feedback on performance and discuss expectations associated with performance at various levels (i.e. 5, 4, etc.) to ensure effective communication with employees for this phase of the performance management process, the following tips are provided to supervisors:
  1. Request that the employee submit a self-assessment (provide guidance in preparing a self-assessment; note advantages of preparing a successful self-assessment);
  2. Set an appointment, date, time and place for the review meeting (recommend 2 business days for the notice) and provide a copy of the rating document to be discussed; advise staff of expectations of the meeting – there should be no surprises;
  3. Be prepared. Review each employee’s performance plan in advance of the meeting, determine employee’s final rating of record under the Critical Elements and Standards, identify and acknowledge accomplishments; have in place a system for tracking accomplishments continually during the year;
  4. Discuss the recommended final rating of record, individual element ratings and objectives or critical elements not met – i.e., the basis and rationale for the rating. Discuss areas where employee excelled and also address any problems, explain how the employee can improve his/her performance for the next performance year - be honest, helpful, encouraging and supportive;
  5. Outline possible solutions. Training (provide opportunities for staff to take needed training, redistribution of work, adjust performance expectations, as appropriate, seek staff input as to what can be done to improve performance);
  6. Reaffirm organizational priorities or identify any new priorities that may impact the employee’s workload; and
  7. Supervisors should seek input from employees on their own supervisory performance and what resources they could provide to the employee.
- Review final performance standards and discuss how performance against those standards equate to the various performance levels (i.e. 5, 4, etc.)
- Prepare justifications/recommendations to acknowledge accomplishments
- Engage employees to identify ways to improve office culture
- With staff input, complete Individual Development Plans (IDPs)
- Review Position Descriptions
- Discuss the performance expectations against the new performance standards
- Develop Performance Improvement plans (PIP) or Opportunity to Improve Plans (OIP), as appropriate
- Continue to interact and engage with staff throughout the year to assess progress



## Delayed Ratings

The minimum appraisal period is ninety (90) days. Employees entering on duty within the last 90 days of the rating cycle, must receive a delayed rating. Delayed ratings allow the employee the opportunity to work under elements and standards for the minimum time frame of 90 days prior to receiving a final rating determination.

### **The Union Supplements state:**

- The minimum appraisal period is 90 days.
- Provided the employee has been working under a performance plan for 90 days, the employee shall have one (1) progress review meeting by the mid-point, barring exceptional circumstances.
- Mid-point of a 90-day rating cycle is 45 days.

By the mid-point of the 90-day appraisal cycle, the supervisor/manager conducts the mid-year review and at the end of the appraisal cycle the final review process begins. The manager is expected to follow the same procedures required during a full performance rating cycle:

- Request employee self-assessment
- Face-to-face meetings
- Communicate rating
- Complete the process in InCompass

The duration of the delayed rating process should not extend beyond the end of January.

Typically, elements/standards for an employee coming on board within the last 29 days of a rating cycle would not be put on a delayed rating. The manager is encouraged instead, to use that time to work with the employee on developing standards for the next rating cycle.

## Guidance for “In-Service Days”

The Department is committed to improving performance management and increasing the effectiveness of communication throughout the year between management and employees. Consequently, the Department has created the option of „in-service days’ (see Glossary for definition) for the purpose of focusing on communication and employee feedback, part of the eight priority projects supporting Operational Excellence. The objective is to ensure all employees receive fair, timely, and accurate evaluations and feedback, in addition providing managers the opportunity to devote time to performance management. While the use of in-service days by managers is *not* mandatory, managers and supervisors are, as always, expected to hold one-on-one meetings with employees throughout the year to ensure that communication with employees regarding performance and training needs is ongoing. Three quarterly one-on-one meetings are required during the year: (1) an initial planning meeting; (2) the formal mid-year progress review meeting; and (3) the formal final assessment meeting. This guidance explains how in-service days may be used to further this critical dialogue between managers and staff throughout the year.

The **first in-service day** for the performance year generally should occur during the last week of September or early October and provides an opportunity to hold one-on-one planning meetings with employees to discuss performance expectations for the upcoming year. The meeting time can be used to:

- Conduct informal one-on-one discussions with employees to review the EPPES elements and standards in connection with performance goals for the office/organization, so the employee can understand their role in the organization.
- Discuss the “how” and “what” of the job; how the person will do the job, the behaviors and competencies expected and what results the person should achieve over the next year.
- Discuss the employee’s own developmental goals, i.e. career developmental goals, training needs, etc.
- Complete and discuss Individual Development Plans (IDPs) or similar career development methods.
- Review Position Descriptions.
- Finalize and approve the EPPES elements and standards.

The **second in-service day** generally should occur during the last weeks of January. With the mid-year progress review in mind, the focus of this in-service day should be on encouraging staff to keep a record of accomplishments in preparation for a mid-year self-assessment. The focus can be on a variety of performance management functions. Recommended activities may include, but are not limited to, the following:

- Conduct informal one-on-one discussions with employees to provide honest feedback on performance and discuss expectations associated with performance at various levels (i.e., 5, 4, etc.).
- Participate in performance management training sessions.
- Engage employees to identify ways to improve the workplace.

- Begin gathering information for mid-year performance reviews.
- Prepare/review Performance Improvement Plans (PIP) or Opportunity to Improve Plans (OIP) as appropriate.

The **third in-service day** generally should occur during the last weeks in April, and it should be used to focus on holding mid-year progress reviews and providing feedback to employees. Additional activities may include, but are not limited to, the following:

- Conduct formal one-on-one discussions with employees to provide honest feedback on performance and discuss expectations associated with performance at various levels (i.e.5, 4, etc.) To ensure effective communication with your employees for this phase of the performance management process, the following tips are provided: (1) Invite the employee to prepare a self-assessment (voluntary); (2) Set an appointment, date, time and place for the progress review meeting (recommend 2 business days for the notice); (3) Be prepared. Review each employees performance plan in advance of the meeting, determine employee's progress and levels of performance under the Critical Elements and Standards, identify and acknowledge accomplishments; (4) Identify critical elements in jeopardy of not being met, or those at levels 3-4 that could make it to levels 4-5 by year end. Discuss all related problems and opportunities, explain how the employee can improve his/her performance, be honest, helpful encouraging and supportive; (5) Outline possible solutions. Identify training, redistribution of work, adjust performance expectations, as appropriate; (6) Reaffirm organizational priorities or identify any new priorities that may impact the employee's workload; and (7) Supervisors seek input from employees on their own supervisory performance and what resources they could provide to the employee.
- Prepare justifications/recommendations to acknowledge accomplishments.
- Engage employees to identify ways to improve office culture.
- Review or develop Performance Improvement Plans (PIP) or Opportunity to Improve plans (OIP), as appropriate.

The **fourth in-service day** generally should occur during the last weeks in July. With the end of the fiscal year right around the corner, the focus of this in-service day should be on encouraging staff to prepare year-end accomplishments and for preparing and establishing performance plans for the new fiscal year. The focus can be on a variety of performance management functions. Recommended activities may include, but are not limited to, the following:

- Conduct informal one-on-one discussions with employees to provide honest feedback on performance and discuss expectations associated with performance at various levels (i.e. 5, 4, etc.).
- Participate in Performance management training sessions.
- Prepare justifications/recommendations to acknowledge accomplishments.
- Engage employees to identify ways to improve office culture.
- Review or develop Performance Improvement plans (PIP) or Opportunity to Improve Plans (OIP) as appropriate.

The **final in-service day** generally should occur during the first two weeks in October. This in-service day should be used to finalize performance ratings and for completing the upcoming fiscal year's performance plans.

Please remember this guidance is not intended to suggest that you cannot conduct meetings such as these at other times throughout the year. In fact, the goal of all managers must be to have ongoing discussions with staff throughout the performance period. With managers having to juggle a variety of competing priorities and responsibilities, the in-service days are one way to provide management with the time to focus solely on staff and performance management.

The Department will monitor the contribution in-service days make to the ultimate goal of increased communication with staff through the pulse and Employee Viewpoint Surveys (EVS). The goal is to ensure that employees have received performance related discussions throughout the year, and to increase the number of staff that believe the discussions are meaningful.

## Awards for PACS/EPPES

**Awards** – The department has the authority to grant awards to EPPES and PACS employees for rating based and non-rating based awards. Authorization to grant these awards is approved annually by the Deputy Secretary in an Annual Awards Policy Funding memo.

Awards covered under this authority are:

- Annual Performance Award – Generally, payment for performance awards are based on a set percentage for rating levels 5, 4 and 3. Payments are made based Step 1 of the employee's grade level, excluding locality pay. Employees with one element rated Marginal with an overall summary rating of Fully-Successful will not be eligible to receive a performance award.
- Time-Off in Lieu of a Performance Award – If included as an option in the annual awards policy funding memo, a manager may award a time-off in lieu of a performance award. Employees rated Outstanding or Excellent are eligible for this award. However, the manager retains discretion over the awarding of this award.
- Quality Step Increase (QSI) – Determination for QSIs are also included in the annual awards policy funding memo from the Deputy Secretary. QSI is an additional step increase that may be granted in recognition of high-quality performance above that ordinarily found in the type of position concerned.
- Special Act Award and Spot Award – Maximum dollar amounts are provided in the annual awards policy funding memo from the Deputy Secretary. These awards will not be processed until after the performance awards payments are made. Specific funding amounts are determined following this process. Separate instructions and guidance pertaining to this process will be provided via CFO and OCHCO.
- Time-Off awards (not based on performance rating) – Time Off awards can be given at any time during the rating cycle. Awards may not exceed 40 hours per award or 80 hours per individual during a leave year. The use of this Time Off award may impact the ability of an employee to select a time off in lieu of a performance award. Please consult with your supervisor or Administrative Officer.

For more details on the criteria and restrictions for above awards, please refer to the Incentive Awards Policy and Procedures Handbook 2195.1 REV.1 at the following link:

<http://portal.hud.gov/hudportal/documents/huddoc?id=21951CHCH.pdf>

## Awards for EPACS and SL/ST

### AWARD LIMITATIONS

- OPM regulations on the payment of performance awards require the following:
- The total dollar expenditure for executive's awards may not currently exceed:
- 7.5 percent (7.5%) of the aggregate executive's basic pay as of the end of the fiscal year prior to the fiscal year in which award payments are made.

### AWARD (BONUS) POOL

- Based on 7.5% of the aggregate executive basic pay, the award (bonus) pool will be calculated accordingly:
- The executive aggregate payroll (To be determined)
- Available award pool (To be determined)

### OTHER RESTRICTIONS

- Only one performance award may be given to an executive in any fiscal year.
- A cash award for performance is paid in a lump sum, less income tax deductions.
- An executive may receive a performance award and a Presidential Rank Award in the same fiscal year.
- Award payments are neither subject to retirement fund contributions nor creditable for inclusion in the "high-three" average pay computation for retirement benefits.

The combined total of an executive's pay, performance award, Presidential Rank Award, and any other monetary awards in one calendar year, cannot be more than the salary of the Vice President's pay. Senior Level and Scientific Professionals' pay must be effective the first applicable pay period beginning on or after January 1, 2015. The amount that cannot be paid in one calendar year shall be paid as a lump sum at the beginning of the next calendar year. The lump sum payment shall be taken into account when applying the ceiling during the next calendar year.

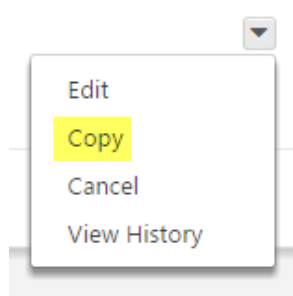
**NOTE:** Although agencies are no longer required to obtain OPM approval before making award payments, agencies must provide to OPM, information regarding the total amount of awards, the distribution of awards, and the aggregate payroll rate used to compute the award pool. If OPM determines that statutory or regulatory requirements have not been met, it may direct corrective action.

## Copy/Advance Performance Elements

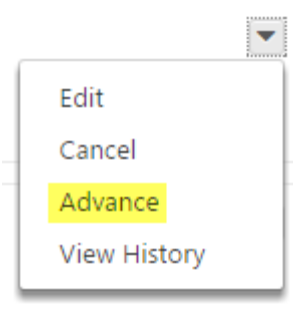
Please follow the instructions below to COPY/ADVANCE a Performance Element:

### Copy/Advance Performance Elements

1. Log into InCompass
2. Click **Performance**.
3. \*To copy an element, go to the box in the right corner of the element and select “copy” from the dropdown.



4. After copying element **please change dates** to reflect current fiscal year.
5. Click “Submit” at the bottom of the screen when element details are finalized.
6. All elements must be approved by your manager; click “**Send an Approval Request**” to send an email to your manager to approve all elements.
7. Available after Oct 1st\*. To advance an element, click the **Advance** button under the options column and verify the element details. The start dates default to the new fiscal year automatically.



8. Once your elements have been approved by your manager and are in an “In Progress” status, go to your Inbox to review and sign your plan by completing the “Establish your FY17 Performance Plan” task.



## FY17 Establish Performance Plan

Review Period 10/1/2016 - 9/30/2017



**REVIEWER**

(Manager), (Indirect Manager)

### Employee

General Schedule Occ Series Grade  
Position

Title



## Overview

### Task Instructions

The purpose of this task is to establish 2016 Performance Plans.

### Performance Planning Task Workflow

1. The **Employee and Manager** will work collaboratively to create performance elements.
2. **Rating Official – Performance Plan Review & Approval:** The Rating Official will review the performance elements and sign to establish the plan.
3. **Reviewing Official – Performance Plan Review & Approval:** The Reviewing Official will review the performance elements and sign to establish the plan.
4. **Employee – Performance Plan Review & Acknowledge:** The employee will review the performance elements and sign to acknowledge review or decline to sign.

**Click a video link below to view how to complete each step in the process:**

## Performance Plan - EPPES

### Directions

**Employee -** Review your performance elements. If changes are needed, click “Save and Exit”. Update your Performance Objectives in Performance - Elements and return to this task after your Rating Official approves the proposed changes.

**Rating Official –** Review the performance elements for accuracy. If changes are needed, click the edit link to make and save your changes. Click “Save and Continue”.

**Reviewing Official –** Review the performance elements for accuracy. If changes are needed, click the edit link to make and save your changes. Click “Save and Continue”.

**Employee Sign Off-** Review your performance elements. Acknowledge and sign then click “Submit” to complete the review process.

Click “Save and Continue”.

# Critical Element 1: Personal Investment (Enter Your Personal Investment Performance Requirement)



## Critical Element 1: Title

### Critical Element Description.

**Start Date**

10/1/2016

**Due Date**

9/30/2017

**Status**

In Progress

**Progress towards Accomplishment**

0% 0.00%

**Weight**

**Critical Element**

Personal Investment

**Strategic Alignment (Source)**

Select Strategic Alignment Source from the dropdown box

**Visibility**

Yes

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in accordance with the SMART standards methodology.



**Critical Element 2: Title**

Critical Element Description.

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment**    **Weight**  
0% 0.00%

**Critical Element**  
Collaboration

**Strategic Alignment (Source)** Strategic    **Visibility**  
**Select the Strategic Alignment**    Yes  
**Source from the dropdown box**

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1   Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in

**Critical Element 3: Title**

Critical Element Description.

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment**  
0% 0.00%

**Weight**

**Critical Element**  
Book of Business

**Strategic Alignment (Source)**

**Visibility**

Select Strategic Alignment

Yes

Source from the dropdown box

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in accordance with the SMART standards methodology.

**Critical Element 4: Title**

**Critical Element Description.**

<b>Start Date</b> 10/1/2016	<b>Due Date</b> 9/30/2017	<b>Status</b> In Progress
<b>Progress towards Accomplishment</b> 0% 0.00%	<b>Weight</b> 0.00%	<b>Critical Element</b> Book of Business
<b>Strategic Alignment (Source)</b> Select Strategic Alignment Source from the dropdown box	<b>Visibility</b> Yes	

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in accordance with the SMART standards methodology.

**Critical Element 5: Title**

**Critical Element Description.**

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment**    **Weight**  
0% 0.00%

**Critical Element**  
Book of Business

**Strategic Alignment (Source)**    **Visibility**  
**Select Strategic Alignment Source**    **Yes**  
**from the dropdown box**

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.

## Signatures - EPPES

### Directions

Sign below to establish the performance plan. Click "Submit" to complete the task.

**Rating Official** – To acknowledge, click the “Acknowledge” checkbox and click “sign”. Click Submit”.

**Reviewing Official** – To acknowledge, click the “Acknowledge” checkbox and click “sign”. Click Submit”.

**Employee** - To acknowledge, click the “Acknowledge” checkbox and click “sign”. Click Submit”. If you Decline to sign the Performance Plan, type "Decline" in the Comments box and then click "Save and Exit" instead of "Submit". The plan will finalize automatically at the end of the process.

**Note:** After you click the "Sign" button, it will change to "Re-sign". If you need to update the Date associated with your signature, check the acknowledgement box and click Re-Sign. Otherwise, simply click "Save & Exit" or "Submit".

\_\_\_\_\_  
Employee

\_\_\_\_\_  
Rating Official  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
Reviewing Official  
Date

## FY17 Establish Performance Plan

Review Period 10/1/2016 - 9/30/2017



REVIEWER

(Manager), (Indirect Manager)

### Manager (Name)

General Schedule Occ Series Grade  
Position

Title



## Overview

### Task Instructions

The purpose of this task is to establish 2017 Performance Plans.

#### Performance Planning Task Workflow

1. The **Employee and Manager** will work collaboratively to create performance elements.
2. **Rating Official – Performance Plan Review & Approval:** The Rating Official will review the performance elements and sign to establish the plan.
3. **Reviewing Official – Performance Plan Review & Approval:** The Reviewing Official will review the performance elements and sign to establish the plan.
4. **Employee – Performance Plan Review & Acknowledge:** The employee will review the performance elements and sign to acknowledge review or decline to sign.

[Click a video link below to view how to complete each step in the process:](#)

## Performance Plan - PACS

### Directions

**Employee** - Review your performance elements. If changes are needed, click "Save and Exit". Update your Performance Objectives in Performance - Elements and return to this task after your Rating Official approves the proposed changes.

**Rating Official** – Review the performance elements for accuracy. If changes are needed, click the edit link to make and save your changes. Click "Save and Continue".

**Reviewing Official** – Review the performance elements for accuracy. If changes are needed, click the edit link to make and save your changes. Click "Save and Continue".

**Employee Sign Off-** Review your performance elements. Acknowledge and sign then click "Submit" to complete the review process.

Click "Save and Continue".

## Critical Element 1: Personal Investment

The purpose of this element is to foster a culture of shared responsibility and collaboration between the PACS manager and his/her supervisor in regard to the manager’s professional development, and the professional development of her/his employees in support of HUD’s mission. This element encourages the PACS manager to pursue continuous self-improvement in the areas of technical knowledge, leadership skills, and the practice of HUD’s core values. The PACS manager is also responsible for fostering the professional development of his/her subordinates in their work areas. Professional development occurs through training, coaching, and mentoring, and other on-the-job instructional, and demonstration methods. As part of this element, supervisors and managers must identify, and develop employees to assume key positions within the work unit, office, or other parts of the Department.

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment**    **Weight**  
0% 0.00%

**Critical Element**  
Personal Investment

**Strategic Alignment (Source)**    **Visibility**  
Select Strategic Alignment Source    Yes  
from the dropdown box

Performance Standards	Description
Level 5, Outstanding	1. Following an assessment of needed skills, based on input from supervisor and/or subordinates and/or self-assessment, the manager participates in at least two trainings that enhance identified skills. These trainings/development seminars exceed the minimum number of training hours required, which is currently 8 hours. 2. The manager actively participates in and prioritizes active participation for all direct reports in 2 or more professional development opportunities and/or trainings on collaborative, cross-program office and/or interagency approaches to working with communities, provided through the Place-Based Executive Committee and local representatives. Active participation may include assisting with the development and execution of the training in local field offices and/or attending the trainings and actively participating in the discussion and workgroup activities that take place within them.
Level 3, Fully Successful	1. The manager completes at least one training/development seminar to improve managerial or technical skills. The manager completes at least one training/development seminar to improve on interpersonal “soft” skills. These trainings/development seminars meet the minimum number of training hours required, which is currently 8 hours. 2. The manager participates and prioritizes participation for all direct reports in one professional development opportunity or and training on collaborative, cross-program office and interagency approaches to working with communities, provided through the Place-Based Executive Committee and local representatives.
Level 1, Unsatisfactory	1. The manager fails to complete at least one training/development seminar to improve managerial or technical skills. The manager fails to complete one training/seminar on interpersonal “soft” skills. These trainings/development seminars do not meet the minimum number of training hours required, which is currently 8 hours. 2. The manager fails to participate and prioritize participation for all direct reports in at least one professional development opportunity and/or training on collaborative, cross-program office and interagency approaches to working with communities, provided through the Place-Based Executive Committee and local representatives.

## Critical Element 2: Cross Collaboration

This element measures the extent to which the PACS manager builds, and/or leverages networks within and across the offices to achieve departmental goals and objectives as assigned. In addition, this element measures the extent to which the employee creates a work environment that promotes fairness and respect, teamwork, and engagement among fellow employees. The PACS manager must identify, retain, and share key institutional knowledge within and across HUD's offices as a means of fostering greater cross-office collaboration.

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment**    **Weight**  
0% 0.00%

**Critical Element**  
Collaboration

**Strategic Alignment (Source)** Strategic    **Visibility**  
**Select the Strategic Alignment**    Yes  
**Source from the dropdown box**

Performance Standards	Description
	Additional Guidance provided in the PACS Performance Standards section of this Desk Guide.
Level 5, Outstanding	Additional guidance provided in the PACS Performance Standards section of this Desk Guide.
Level 3, Fully Successful	Additional guidance provided in the PACS Performance Standards section of this Desk Guide.
Level 1, Unsatisfactory	

**Critical Element 3: Title**

Critical Element Description.

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment**    **Weight**  
0% 0.00%

**Critical Element**  
APG or Operational Excellence

**Strategic Alignment (Source)**    **Visibility**  
**Select Strategic Alignment**    Yes  
**Source from the dropdown box**

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in accordance with the SMART standards methodology.

### Critical Element 4: Title

#### Critical Element Description:

**Start Date**  
10/1/2016

**Due Date**  
9/30/2017

**Status**  
In Progress

**Progress towards Accomplishment** **Weight**  
0% 0.00%

**Critical Element**  
Book of Business

**Strategic Alignment (Source)** **Visibility**  
**Select Strategic Alignment Source** **Yes**  
**from the dropdown box**

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in accordance with the SMART standards methodology.

**Critical Element 5: Title**

**Critical Element Description.**

<b>Start Date</b> 10/1/2016	<b>Due Date</b> 9/30/2017	<b>Status</b> In Progress
<b>Progress towards Accomplishment</b> 0% 0.00%	<b>Weight</b> 0.00%	<b>Critical Element</b> APG or Book of Business
<b>Strategic Alignment (Source)</b> Select Strategic Alignment Source from the dropdown box	<b>Visibility</b> Yes	

Performance Standards	Description
Level 5, Outstanding	Enter your performance standards for Level 5, Outstanding, in accordance with the SMART standards methodology.
Level 3, Fully Successful	Enter your performance standards for Level 3, Fully Successful, in accordance with the SMART standards methodology.
Level 1, Unsatisfactory	Enter your performance standards for Level 1, Unsatisfactory, in accordance with the SMART standards methodology.

## Signatures - PACS

### Directions

Sign below to establish the performance plan. Click "Submit" to complete the task.

**Rating Official** – To acknowledge, click the “Acknowledge” checkbox and click “sign”. Click Submit”.

**Reviewing Official** – To acknowledge, click the “Acknowledge” checkbox and click “sign”. Click Submit”.

**Employee** - To acknowledge, click the “Acknowledge” checkbox and click “sign”. Click Submit”. If you Decline to sign the Performance Plan, type "Decline" in the Comments box and then click "Save and Exit" instead of "Submit". The plan will finalize automatically at the end of the process.

**Note:** After you click the "Sign" button, it will change to "Re-sign". If you need to update the Date associated with your signature, check the acknowledgement box and click Re-Sign. Otherwise, simply click "Save & Exit" or "Submit".

\_\_\_\_\_  
Employee

\_\_\_\_\_  
Rating Official  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
Reviewing Official  
Date

# PACS/EPPEs – Establish Performance Plan



REVIEW



REVIEW



ACKNOWLEDGE  
& SIGN



Please follow the instructions below to complete the Performance Planning process:



## Rating Official – Steps to Review the Employee’s Performance Plan

1. Login to InCompass.
2. In the **Task Box** on the right side of the screen click “Performance Plan - Review and Finalize for **EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME**”
3. Click “**Get Started**” at the bottom of the overview screen
4. Review the employee’s elements, then click “**Save and Continue**”
5. Click the ...I acknowledge the review... “**Checkbox**” and the “**Sign**” button
6. Click “**Submit**” at the bottom of the screen



## Reviewing Official – Steps to Review the Employee’s Performance Plan

1. Login to InCompass.
2. In the **Task Box** on the right side of the screen click “Performance Plan - Review and Approve for **EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME**”
3. Click “**Get Started**” at the bottom of the overview screen
4. Review the employee’s elements, then click “**Save and Continue**”
5. On the sign-off section, click the...I acknowledge the review... “**Checkbox**” and the “**Sign**” button
6. Click “**Submit**” at the bottom of the screen



## Employee – Steps to review your Performance Plan

1. Login to InCompass.
2. In the **Task Box** on the right side of the screen click “Performance Plan - Review and Finalize
3. Click “**Get Started**” at the bottom of the overview screen
4. Review your elements, then click “**Save and Continue**”
5. Click the ...I acknowledge the review... “**Checkbox**” and the “**Sign**” button **OR click the “Decline to Sign” box**
6. Click “**Submit**” at the bottom of the screen



**InCompass**  
A Resource of InService

Office of the Chief Human Capital Officer  
Performance Management Office  
For assistance contact your **InCompass Lead**



# PACS/EPPES Progress Review



SELF ASSESS



REVIEW



ACKNOWLEDGE  
& SIGN



Please follow the instructions below to complete the Progress Review process:



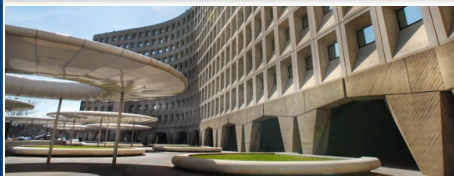
## Employee – Steps to Review your Progress

1. Login to InCompass
2. In the **Task Box** on the right side of the screen click “**Mid-Year Review - Complete Progress Review**”
3. Click “**Get Started**” at the bottom of the overview screen
4. **Describe** your accomplishments and how they relate to the job objectives for all five of your elements.
5. **Click Submit** to finalize your step in the task and advance the task to the Rating Official.
6. Once the Rating Official completes the review, log back into InCompass to acknowledge your Progress Review.
6. In the Your **Tasks** widget, click “**Mid-Year Review - Complete Progress Review**”.
7. **Click Get Started** to review your Rating Official’s comments and rating (optional) for each element.
8. Click “**Save and Continue**”.
9. Click the ...I acknowledge the review... “**Checkbox**” and the “**Sign**” button
10. Click “**Submit**” at the bottom of the screen



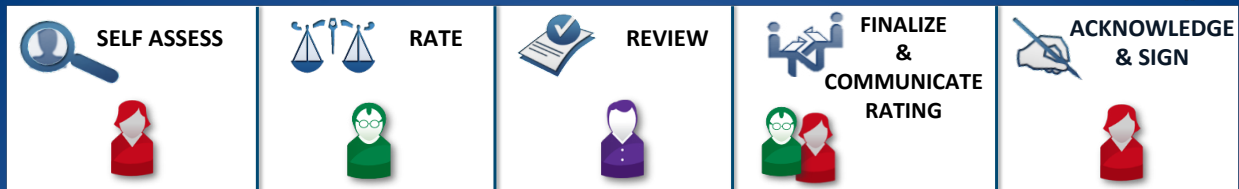
## Rating Official – Steps to Review the Employee’s Progress

1. Login to InCompass
2. In the **tasks box** on the right side of the screen click “**Mid-Year Review - Complete Rating Official Progress Review of EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME**”
3. Click “**Get Started**” at the bottom of the overview screen
4. Review the employee’s elements, enter narrative feedback, and ratings (optional) for each element.
5. Click “**Save and Continue**”
6. On the sign-off section, click the...I acknowledge the review... “**Checkbox**” and the “**Sign**” button
7. Click “**Submit**” at the bottom of the screen



Office of the Chief Human Capital Officer  
Performance Management Office  
For assistance contact your **InCompass Lead**

# PACS/EPPEs- Year End Performance Review



Please follow the instructions below to complete the Year End Performance Review:



## Employee – Year End Performance Review Steps

1. **Login** to the **InCompass** system. Go to your task box, **click Year End Review – Complete Self Assessment**.
2. **Click Get Started** to access your elements and comment on your annual performance.
3. **Describe** your accomplishments and how they relate to the job objectives for all five of your elements.
4. **Click Submit** to finalize your step in the task and advance the task to the Rating Official.
5. Once the Rating Official completes the review, log back into InCompass to acknowledge your Year End Review.
6. In the Your **Task Box**, **click Year End Review – Complete Self Assessment**.
7. **Click Get Started** to review your Rating Official's comments and rating for each element.
8. **Click Save and Continue** to advance to the Summary.
9. **Click Next** to advance to the Signature Section.
10. **Click on the Acknowledgement box**, authenticating your signature, and then **click Sign OR click the Decline to Sign box**.
11. To complete the plan, **click Submit**. **Click OK**.



## Rating Official – Year End Performance Review Steps

1. **Login to InCompass**. In the Your **Task Box**, **click Year End Review – Rating Official Review**.
2. **Click Get Started** to view comments made by the employee for each element.
3. If changes need to be made, send the review to the Employee by **clicking the Back button**.
4. **Click Re-Open Step**. A pop-up box appears. **Select the radio button** and **add comments**. **Click Save**.
5. If no additional changes need to be made, **click Select** to choose the appropriate rating for each element.
6. **Click Submit** to finalize your step in the task and to advance the task to the Reviewing Official.
7. Once the Reviewing Official completes the review, **log back into InCompass** for the Acknowledgement step of the Year End Review. To acknowledge, **click Year End Review – Rating Official Review** in the Your Tasks widget.
8. **Click Get Started** to review all comments and ratings for each element. **Click Save and Continue**.
9. On the Summary page, **click Next** to advance to the Signature Section.
10. **Click on the Acknowledgement box**, authenticating your signature, and then **click Sign**.
11. To complete the plan, **click Submit**. **Click OK**.



## Reviewing Official – Year End Performance Review Steps

1. Once the Rating Official completes the review, **login to InCompass** and **click Year End Review – Reviewing Official Review** in the Your **Task Box** widget.
2. **Click Get Started** to review all comments and ratings for each element. **Click Save and Continue**.
3. If changes need to be made, send the review to the Rating Official by **clicking the Back button**.
4. **Click Re-Open Step**. A pop-up box appears. **Select the radio button** and **add comments**. **Click Save**.
5. If no additional changes need to be made, **click Next** to advance to the Signature Section.
6. **Click on the Acknowledgement box**, authenticating your signature, and then **click Sign**.
7. To complete the plan, **click Submit**. **Click OK**.



Office of the Chief Human Capital Officer  
Performance Management Office  
For assistance contact your **InCompass Lead**



**U.S. Department of Housing and Urban Development  
Senior Level and Scientific and Professional Performance Accountability and  
Communication System**

<b>Part 1. Consultation.</b> <i>I have reviewed this plan and have been consulted on its development.</i>						
SL/ST Employee's Name ( <i>Last, First, MI</i> ):				Rating Period:		
SL/ST Employee's Signature:				Date:		
Title:				Organization:		
Rating Official's Name ( <i>Last, First, MI</i> ):				SL <input type="checkbox"/>	ST <input type="checkbox"/>	
Rating Official's Signature:				Date:		
<b>Part 2. Progress Review</b>						
SL/ST Employee's Signature:				Date:		
Rating Official's Signature:				Date:		
Reviewing Official's Signature :				Date:		
<b>Part 3. Summary Rating</b>						
<b>Initial Summary Rating</b>	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Exceeds Fully Successful	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory	
Rating Official's Name: ( <i>Last, First, MI</i> ):				Date:		
Rating Official's Signature:				Date:		
SL/ST Employee's Signature:				Date:		
Reviewing Official's Signature:				Date:		
<b>Higher Level Review (Optional)</b>						
<input type="checkbox"/> I request a higher level review. SL/ST Employee's Initials:				Date:		
Higher Level Review Completed <input type="checkbox"/>				Date:		
Higher Level Reviewer Signature:						
<b>Performance Review Board Recommendation</b>						
		<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Signature:				Date:		
<b>Annual Summary Rating</b>						
		<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Signature:				Date:		
<b>Part 4. Derivation Formula and Calculation of Annual Summary Rating</b>						
Critical Element	Rating Level		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change						Level 5 = 475-500 Level 4 = 400-474 Level 3 = 300-399 Level 2 = 200-299 Level 1 = any CE rated Level 1
2. Technical Leadership						
3. Program/Project Management						
4. Building Coalitions						
5. Results Driven			60			
Total			100%			

SL/ST Employee Name and ID:

Appraisal Period:

**Part 5. Critical Elements**

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The SL/ST official demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the employee’s organization, agency, department or government-wide. This represents the highest level of performance, as evidenced by the extraordinary impact on the achievement of the organization’s mission. The SL/ST official is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The SL/ST official continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The SL/ST official demonstrates a very high level of performance beyond that required for successful performance in the employee’s position and scope of responsibilities. The SL/ST official is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The SL/ST official consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The SL/ST official demonstrates the high level of performance expected and the employee’s actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The SL/ST official is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The SL/ST official meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The SL/ST official’s contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the SL/ST official generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the SL/ST official may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the SL/ST official demonstrates performance deficiencies that detract from mission goals and objectives. The SL/ST official generally is viewed as ineffectual by agency leadership, peers, or employees. The SL/ST official does not meet established performance expectations/ timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

**Element Rating Level Points**

**Level 5 = 5 points**  
**Level 4 = 4 points**  
**Level 3 = 3 points**  
**Level 2 = 2 points**  
**Level 1 = 0 points**

SL/ST Name and ID:

Appraisal Period:

**Critical Element 1. Leading Change**

**Weight**

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you led change and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department’s established “Core Values;” and any other significant, unanticipated challenges or events that arose during the year.**

**Rating Official Narrative: (Mandatory) The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive’s performance is consistent with HUD’s core values.**

Critical Element Rating – Leading Change

Level 5

Level 4

Level 3

Level 2

Level 1

SL/ST Employee Name and ID:

Appraisal Period:

**Critical Element 2. Technical Leadership**

**Weight**

**Non-Supervisory Only:** Demonstrates excellence in a technical field, coaches and mentors employees, and focuses the efforts of diverse groups to achieve a common goal. Organizes and leads activities to apply technology or program or functional expertise and to foster technical maturation and technology transition while ensuring customer satisfaction and perspective. Integrates across broad system areas to coordinate and focus the activities of other technical experts in support of Agency knowledge, capabilities and/or techniques.

**Supervisory Only:** Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee and customer input, taking into consideration both customer and employee perspectives. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you organized and led activities or led people and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department's established "Core Values;" and any other significant, unanticipated challenges or events that arose during the year.**

**Rating Official Narrative: (Mandatory) The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive's performance is consistent with HUD's core values.**

Critical Element Rating – Technical Leadership	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
--	----------------------------------	----------------------------------	----------------------------------	----------------------------------	----------------------------------

SL/ST Employee Name and ID:

Appraisal Period:

**Critical Element 3. Program/Project Management**

**Weight**

Ensures that programs/projects within areas of specific responsibilities are managed/implemented/completed in a timely, efficient and effective manner that meets objectives. Monitors and evaluates the organization, focuses on established organizational goals, results, and measures the attainment of outcomes. Assures that effective controls are developed and maintained to ensure the integrity of the applicable program/project functions within the organization.

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you managed, implemented, evaluated programs/projects and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department’s established “Core Values;” and any other significant, unanticipated challenges or events that arose during the year.**

**Rating Official Narrative: (Mandatory) The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive’s performance is consistent with HUD’s core values.**

Critical Element Rating – Program/Project Management

Level 5

Level 4

Level 3

Level 2

Level 1

SL/ST Employee Name and ID:

Appraisal Period:

**Critical Element 4. Building Coalitions**

**Weight**

Solicits and considers feedback from internal and external stakeholders or customers. **Coordinates** with appropriate parties to maximize input from the widest range of appropriate stakeholders to **facilitate an open exchange of opinion** from diverse groups and **strengthen internal and external support**. **Explains, advocates, and expresses facts and ideas in a convincing manner** and **negotiates** with individuals and groups internally and externally, as appropriate. **Develops a professional network with other organizations** and identifies the internal and external politics that affect the work of the organization.

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you built coalitions and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department’s established “Core Values;” and any other significant, unanticipated challenges or events that arose during the year.**

**Rating Official Narrative: (Mandatory) The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive’s performance is consistent with HUD’s core values.**

Critical Element Rating – Building Coalitions

Level 5

Level 4

Level 3

Level 2

Level 1



SL/ST Employee Name and ID:

Appraisal Period:

**Critical Element 5. Results Driven**

**Weight 60%**

**Agency Goals/Objectives for current FY: Must have at least 1 result (may have more than 5)**

This critical element includes specific performance requirements expected of the SL/ST employee during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objective, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

**At a minimum, the performance plan must include at least 1 performance requirement (including measures, targets, timelines, or quality descriptors as appropriate) describing the range of performance at Level 3, Level 4, and Level 5 for each result specified. Additional performance requirements may be included.**

For the performance requirement, enter a Strategic Goal, Strategic Objective, Agency Priority Goal (APG) or Book of Business (BOB) performance requirement. The performance requirement should contain the following:

- a. Specific Outcome (the result)
- b. Results Target (Measure of outcome expressed as a “source of measurement data” (i.e., how much, by when, how well, etc.) written at Levels 3, 4, and 5. For example, number of reports, policy/program initiatives completed once, quarterly, or bi-annually, etc.

The Results Driven critical element will be determined by assessing the SL/ST employee’s accomplishments in at least 1 performance requirement. Additional performance requirements may be included. The rating official, in consultation with the SL/ST employee, will identify the performance requirement(s), complete with standards, which demonstrate direct linkage with the agency’s strategic plan for which the SL/ST employee will be held accountable. The establishment and assessment of the Results Driven element is a three-step process:

- 1) At the beginning of the appraisal period, assign a weight to each performance requirement(s). Do this in consultation with your rating official. The total weight of all performance requirements must equal 100%.
- 2) At rating year end, the rating official shall assess the SL/ST employee’s accomplishments for each individual performance requirement based on the performance standards provided and assign a rating level to each individual performance requirement. Once a rating level for each individual performance requirement is determined, a point value will be assigned to each performance requirement as follows:

Level 5 = 5 points  
Level 4 = 4 points  
Level 3 = 3 points  
Level 2 = 2 points  
Level 1 = 1 point

- 3) A point total will be determined for each individual performance requirement by multiplying the weight times its assigned point value. The points for each individual performance requirement are then totaled. See example below:

SL/ST Employee Name and ID:

Appraisal Period:

**Critical Element 5. Results Driven**

**Weight 60%**

<u>Performance Requirement</u>	<u>Weight</u>	<u>Assigned Rating</u>	<u>Point Value</u>	<u>Total</u>
#1	10%	Level 3	3	10 x 3 = <b>30</b>
#2	10%	Level 4	4	10 x 4 = <b>40</b>
#3	10%	Level 3	3	10 x 3 = <b>30</b>
#4	10%	Level 3	3	10 x 3 = <b>30</b>
#5	60%	Level 5	5	60 x 5 = <b>300</b>
<b>TOTAL:</b>	<b>100%</b>			<b>430</b>

The overall rating for Critical Element 5 will be the rating determined using the rating scale below by assigning the level based on the total points derived from the performance requirement (s):

**Critical Element 5 Rating Scale**

- 475-500 = Level 5
- 400-474 = Level 4
- 300-399 = Level 3
- 200-299 = Level 2
- Any performance requirement rated Level 1 = Level 1

In the example above, 430 points, using the rating scale provided, falls in the Level 4 range. Therefore, the overall rating for Critical Element 5 is Level 4.

**Performance Requirement 1:**

- Level 3:
- Level 4:
- Level 5:

**Strategic Alignment (Source):**

**Weight**

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement # 1 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

SL/ST Employee Name and ID:

Appraisal Period:

**Performance Requirement 2:**

- Level 3:
- Level 4:
- Level 5:

Strategic Alignment (Source):

Weight

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement # 2 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

**Performance Requirement 3:**

- Level 3:
- Level 4:
- Level 5:

Strategic Alignment (Source):

Weight

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement # 3 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

SL/ST Employee Name and ID:

Appraisal Period:

**Performance Requirement 4:**

- Level 3:
- Level 4:
- Level 5:

Strategic Alignment (Source):

Weight

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement #4 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

**Performance Requirement 5:**

- Level 3:
- Level 4:
- Level 5:

Strategic Alignment (Source):

Weight

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement #5– Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

SL/ST Employee Name and ID:

Appraisal Period:

**Rating Official Narrative (Mandatory):**

*Critical Element Rating –Results Driven*

Level 5

Level 4

Level 3

Level 2

Level 1

**Part 6: Summary Rating Narrative (Mandatory)**

*Assess how well the SL/ST employee performed overall – paying equal attention to the quantity of results achieved, and the manner by which he or she achieved them (i.e., adherence to the Department’s established “Core Values”).*

**Part 7: SL/ST Employee’s Accomplishment Narrative (Optional)**

*Should you choose to enter additional comments in this section pertaining to your overall rating, please do not repeat any comments you made previously in the narratives under Critical Elements 1 through 4, or in the Performance Requirements under Critical Element 5.*

**Part 8: Agency Use**

**Department of Housing and Urban Development’s Established Core Values:**

*Integrity  
Efficiency and Effectiveness  
Teamwork  
Fairness and Respect  
Accountability*



**EPACS**  
**U.S. Department of Housing and Urban Development**  
**Executive Performance Accountability and Communication System**



<b>Part 1. Consultation. <i>I have reviewed this plan and have been consulted on its development.</i></b>						
Executive's Name ( <i>Last, First, MI</i> ):				Appraisal Pd.		
Executive's Signature:				Date:		
Title:				Organization:		
Rating Official's Name ( <i>Last, First, MI</i> ):				CA <input type="checkbox"/>	NC <input type="checkbox"/>	LT/LE <input type="checkbox"/>
Rating Official's Signature:				Date:		
<b>Part 2. Progress Review</b>						
Executive's Signature:				Date:		
Rating Official's Signature:				Date:		
Reviewing Official's Signature ( <i>Optional</i> ):				Date:		
<b>Part 3. Summary Rating</b>						
<b>Initial Summary Rating</b>	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Exceeds Fully Successful	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory	
Rating Official's Name: ( <i>Last, First, MI</i> ):						
Rating Official's Signature:				Date:		
Executive's Signature:				Date:		
Reviewing Official's Signature:				Date:		
<b>Higher Level Review (if applicable)</b>						
<input type="checkbox"/> I request a higher level review. Executive's Initials:				Date:		
Higher Level Review Completed <input type="checkbox"/>				Date:		
Higher Level Reviewer Signature:						
<b>Performance Review Board Recommendation</b>						
<b>Performance Review Board Recommendation</b>		<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Signature:				Date:		
<b>Annual Summary Rating</b>						
<b>Annual Summary Rating</b>		<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Appointing Authority Signature:				Date:		
<b>Part 4. Derivation Formula and Calculation of Annual Summary Rating</b>						
Critical Element	Element Rating		Weight	Score		Summary Level Ranges  475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change						
2. Leading People						
3. Business Acumen						
4. Building Coalitions						
5. Results Driven						
Total			100%			

Executive Name and ID:

Appraisal Period:

**Part 5. Critical Elements**

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive’s organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization’s mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive’s position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive’s actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive’s contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

**Element Rating Level Points**

**Level 5 = 5 points**  
**Level 4 = 4 points**  
**Level 3 = 3 points**  
**Level 2 = 2 points**  
**Level 1 = 0 points**

Executive Name and ID:

Appraisal Period:

**Critical Element 1. Leading Change**

**(Minimum weight 5%)**

**Weight**

Develops and **implements an organizational vision** that integrates key organizational and program goals, priorities, values, and other factors. Assesses and **adjusts to changing situations**, implementing **innovative solutions** to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. **Balances change and continuity**; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, **collaboration**, and **transparency**; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you led change and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department’s established “Core Values;” and any other significant, unanticipated challenges or events that arose during the year. Additional performance requirement may be included below:**

Additional Performance Requirement Title:

Description:

**Executive Self-Assessment (Mandatory):**

**Rating Official Narrative (Mandatory): *The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive’s performance is consistent with HUD’s core values.***

Critical Element Rating – Leading Change

Level 5

Level 4

Level 3

Level 2

Level 1



Executive Name and ID:

Appraisal Period:

**Critical Element 2. Leading People**

**(Minimum weight 5%)**

**Weight**

Designs and implements strategies that **maximize employee potential**, connects the organization horizontally and vertically, and fosters **high ethical standards** in meeting the organization's vision, mission, and goals. Provides an **inclusive workplace** that fosters the development of others to their full potential; allows for **full participation** by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive **resolution of conflicts**. **Ensures employee performance plans are aligned** with the organization's mission and goals, that employees receive **constructive feedback**, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees **accountable** for appropriate levels of performance and conduct. Seeks and considers **employee input**. **Recruits, retains, and develops the talent** needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting **workforce diversity, workplace inclusion**, and equal employment policies and programs.

Agency-Specific Performance Requirements

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you led people and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department's established "Core Values;" and any other significant, unanticipated challenges or events that arose during the year. Additional performance requirement may be included below:**

Additional Performance Requirement Title:

Description:

**Executive Self-Assessment (Mandatory):**

**Rating Official Narrative (Mandatory):** *The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive's performance is consistent with HUD's core values.*

Critical Element Rating – Leading People

Level 5

Level  
4

Level  
3

Level  
2

Level 1

Executive Name and ID:

Appraisal Period:

**Critical Element 3. Business Acumen**

**(Minimum weight 5%)**

**Weight**

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and **accomplishes the organization's mission**. **Uses technology** to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and **manages resources**.

Agency-Specific Performance Requirements

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you demonstrated business acumen and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department’s established “Core Values;” and any other significant, unanticipated challenges or events that arose during the year. Additional performance requirement may be included below:**

Additional Performance Requirement Title:

Description:

**Executive Self-Assessment (Mandatory):**

**Rating Official Narrative (Mandatory):** *The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive’s performance is consistent with HUD’s core values.*

Critical Element Rating – Business Acumen

Level 5

Level  
4

Level  
3

Level  
2

Level 1

Executive Name and ID:

Appraisal Period:

**Critical Element 4. Building Coalitions**

**(Minimum weight 5%)**

**Weight**

Solicits and considers feedback from internal and external stakeholders or customers. **Coordinates** with appropriate parties to maximize input from the widest range of appropriate stakeholders to **facilitate an open exchange of opinion** from diverse groups and **strengthen internal and external support**. **Explains, advocates, and expresses facts and ideas in a convincing manner** and **negotiates** with individuals and groups internally and externally, as appropriate. **Develops a professional network with other organizations** and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

**An Executive Self-Assessment is Mandatory. In the self-assessment, explain how you built coalitions and met other aspirations of this Critical Element (see above) in order to achieve the accomplishments described in Critical Element 5, Results Driven; programmatic and departmental goals consistent with the Department’s established “Core Values;” and any other significant, unanticipated challenges or events that arose during the year. Additional performance requirement may be included below:**

Additional Performance Requirement Title:

Description:

**Executive Self-Assessment (Mandatory):**

**Rating Official Narrative (Mandatory): *The rating official must provide a substantive narrative that supports the proposed rating and is guided by the performance standards described on page 2 of this form. Additionally, the rating official must affirm that the executive’s performance is consistent with HUD’s core values.***

<i>Critical Element Rating – Building Coalitions</i>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
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Executive Name and ID:

Appraisal Period:

**Critical Element 5. Results Driven**

**(Minimum weight 20%)**

**Weight**

**Agency Goals/Objectives for current FY: Must have at least 1 result (may have more than 5)**

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

**At a minimum, the performance plan must include at least 1 performance requirement (including measures, targets, timelines, or quality descriptors as appropriate) describing the range of performance at Level 3, Level 4, and Level 5 for each result specified. Additional performance requirements may be included.**

For the performance requirement, enter a Strategic Goal, Strategic Objective, Agency Priority Goal (APG) or Book of Business (BOB) performance requirement. The performance requirement should contain the following:

- a. Specific Outcome (the result)
- b. Results Target (Measure of outcome expressed as a “source of measurement data” (i.e., how much, by when, how well, etc.) written at Levels 3, 4, and 5. For example, number of reports, policy/program initiatives completed once, quarterly, bi-annually, etc.

The Results Driven critical element will be determined by assessing the executive’s accomplishments in at least 1 performance requirement. Additional performance requirements may be included. The rating official, in consultation with the executive, will identify the performance requirement(s), complete with standards, which demonstrate direct linkage with the agency’s strategic plan for which the executive will be held accountable. The establishment and assessment of the Results Driven element is a three-step process:

- 1) At the beginning of the appraisal period, assign a weight to each performance requirement(s). Do this in consultation with your rating official. The total weight of all performance requirements must equal 100%.
- 2) At rating year end, the rating official shall assess the executive’s accomplishments for each individual performance requirement based on the performance standards provided and assign a rating level to each individual performance requirement. Once a rating level for each individual performance requirement is determined, a point value will be assigned to each performance requirement as follows:

- Level 5 = 5 points
- Level 4 = 4 points
- Level 3 = 3 points
- Level 2 = 2 points
- Level 1 = 1 point

Executive Name and ID:

Appraisal Period:

3) A point total will be determined for each individual performance requirement by multiplying the weight times its assigned point value. The points for each individual performance requirement are then totaled. See example below:

<u>Performance Requirement</u>	<u>Weight</u>	<u>Assigned Rating</u>	<u>Point Value</u>	<u>Total</u>
#1	20%	Level 3	3	20 x 3 = <b>60</b>
#2	10%	Level 4	4	10 x 4 = <b>40</b>
#3	30%	Level 3	3	30 x 3 = <b>90</b>
#4	25%	Level 3	3	25 x 3 = <b>75</b>
#5	15%	Level 5	5	15 x 5 = <b>25</b>
<b>TOTAL:</b>	<b>100%</b>			<b>340</b>

The overall rating for Critical Element 5 will be the rating determined using the rating scale below by assigning the level based on the total points derived from the performance requirement(s):

**Critical Element 5 Rating Scale**

- 475-500 = Level 5
- 400-474 = Level 4
- 300-399 = Level 3
- 200-299 = Level 2
- Any performance requirement rated Level 1 = Level 1

In the example above, 340 points, using the rating scale provided, falls in the Level 3 range. Therefore, the overall rating for Critical Element 5 is Level 3.

**Performance Requirement 1:**

- Level 5:
- Level 4:
- Level 3:

Strategic Alignment (Source):

Weight

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

<i>Performance Requirement #1 – Rating</i>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
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Executive Name and ID:

Appraisal Period:

**Performance Requirement 2:**

- Level 5:
- Level 4:
- Level 3:

**Strategic Alignment (Source):**

**Weight**

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement #2 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

**Performance Requirement 3:**

- Level 5:
- Level 4:
- Level 3:

**Strategic Alignment (Source):**

**Weight**

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement #3 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

Executive Name and ID:

Appraisal Period:

**Performance Requirement 4:**

- Level 5:
- Level 4:
- Level 3:

**Strategic Alignment (Source):**

**Weight**

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement #4 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

**Performance Requirement 5:**

- Level 5:
- Level 4:
- Level 3:

**Strategic Alignment (Source):**

**Weight**

**Results: (In addition to specifying the actual results, please describe the nature of your role (i.e., direct or indirect; central or contributory) in helping to achieve this performance requirement):**

*Performance Requirement #5 – Rating*

Level 5

Level 4

Level 3

Level 2

Level 1

Executive Name and ID:

Appraisal Period:

**Rating Official Narrative (Mandatory):**

*Critical Element Rating –Results Driven*

Level  
5

Level  
4

Level 3

Level 2

Level  
1

**Part 6: Summary Rating Narrative (Mandatory)**

*Assess how well the executive performed overall – paying equal attention to the quality as well as the quantity of results achieved, and the manner by which he or she achieved them (i.e., adherence to the Department’s established “Core Values”).*

**Part 7: Executive’s Accomplishment Narrative (Optional)**

*Should you choose to enter additional comments in this section pertaining to your overall rating, please do not repeat any comments you made previously in the narratives under Critical Elements 1 through 4, or in the Performance Requirements under Critical Element 5.*

**Part 8: Agency Use**

**Department of Housing and Urban Development’s Established Core Values:**

*Integrity*

*Efficiency and Effectiveness*

*Teamwork*

*Fairness and Respect*

*Accountability*



# Establishing SES Performance Plans



## CREATE ELEMENTS



## ACKNOWLEDGE & SIGN



## REVIEW



Please follow the instructions below to establish a Performance Plan:



### Executive – Steps to Create Elements

1. Login to InCompass.
2. Click Performance – Elements
3. To copy an element, click the copy button under the options column and verify the element details as well as the start and due dates  
*\*Available after Oct 1<sup>st</sup>\** To Advance an element, click the advance button under the options column and verify the element details. The start and due dates default to the current year automatically.
4. Click **“Submit”** at the bottom of the screen when element details are finalized
5. All elements must be approved by your manager, click **“Send an Approval Request”** to send an email to your manager to approve all elements.



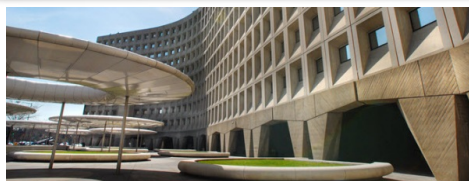
### Executive - Steps to Establish a Performance Plan

1. Login to InCompass.
2. Before you open the task, create your elements
3. In the tools box on the right side of the screen click **“Performance Plan - Review and Finalize”**
4. Click **“Get Started”** at the bottom of the overview screen
5. Review the elements you created, then click **“Save and Continue”**
6. On the sign-off section, click the **“I acknowledge the review...” Checkbox**
7. Click the **“Sign”** button
8. Click **“Submit”** at the bottom of the screen



### Rating Official – Steps to Establish a Performance Plan for the Executive

1. Login to InCompass.
2. In the tools box on the right side of the screen click **“Performance Plan - Review and Finalize for EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME”**
3. Click **“Get Started”** at the bottom of the overview screen
4. Review the elements assigned to the executive, then click **“Save and Continue”**.  
**\*\*You also have the option to approve, deny or cancel any of the elements within the plan.**
5. On the sign-off section, click the **“I acknowledge the review...” Checkbox**
6. Click the **“Sign”** button
7. Click **“Submit”** at the bottom of the screen



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# SES Progress Review



REVIEW



ACKNOWLEDGE  
& SIGN



Please follow the instructions below to complete the Executive Progress Review process:



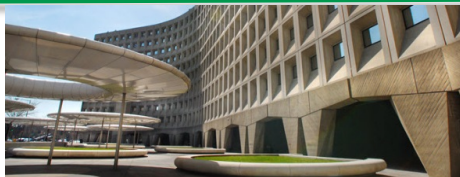
## Rating Official – Steps to Review the Executive’s Progress

1. Login to InCompass.
2. In the **Task Box** on the right side of the screen click “Mid-Year Review - Complete Rating Official Progress Review of EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME”
3. Click “Get Started” at the bottom of the overview screen
4. Review the employee’s elements, then click “Save and Continue”
5. On the sign-off section, click the...I acknowledge the review... “Checkbox” and the “Sign” button
6. Click “Submit” at the bottom of the screen



## Executive – Steps to Review your Progress

1. Login to InCompass.
2. In the **Task Box** on the right side of the screen click “Mid-Year Review - Complete Progress Review”
3. Click “Get Started” at the bottom of the overview screen
4. Review your elements, then click “Save and Continue”
5. Click the ...I acknowledge the review... “Checkbox” and the “Sign” button
6. Click “Submit” at the bottom of the screen



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# Closeout of SES Performance Plan



Please follow the instructions below to complete Closeout Performance Plan process:



## Executive – Steps for Entering your Executive Self-Assessment

1. Login to InCompass.
2. In the tools task box on the right side of the screen click “FY\_\_ Year End Review - Complete Self Assessment”
3. Click “Get Started” at the bottom of the overview screen
4. For each Critical Element enter your accomplishments in the text box provided (copy- CTRL C and paste-CTRL V) then click “Save and Continue”
5. Once you get to “The Results Driven Section Overall Rating screen” Click “Submit”



## Rating Official – Steps to Rate the Executive’s Performance Plan

1. Login to InCompass.
2. In the tools box on the right side of the screen click “FY\_\_ Year End Review - Rating Official Review of EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME”
3. Click “Get Started” at the bottom of the overview screen
4. For each Critical Element 1-4, select the element rating level for each performance requirement using the drop down box provided and the overall rating for the section in the final drop down box then click “Save and Continue”.
5. In the “Critical element 5: Results Driven” section, select a level rating for each results driven element from the drop down box, then click “Save and Continue”
6. To select a rating for the Overall Results Driven Section, click “Summary” on the left of the screen and note the rating for Critical Element 5: Results Driven
7. Return to the Results Driven section and select the Overall Rating Level in the drop down box then click “Save and Continue”
8. Click the ...I acknowledge the review... “Checkbox” and the “Sign” button
9. Click “Submit” at the bottom of the screen
10. ROLLUP PROCESS COMPLETED OUTSIDE OF THE SYSTEM. PLANS WILL BE HELD UNTIL THE ROLLUP IS COMPLETE



## Reviewing Official – Steps to Review and Acknowledge Ratings

1. Login to InCompass.
2. In the tools task box on the right side of the screen click “Year End Review - Reviewing Official Review of EMPLOYEE.FIRST.NAME EMPLOYEE.LAST.NAME”
3. Click “Get Started” at the bottom of the overview screen
4. View the comments and ratings for each critical element and Click “Save and Continue” at the bottom of the screen
5. On the sign-off section, click the...I acknowledge the review... “Checkbox” and the “Sign” button
6. Click “Submit” at the bottom of the screen



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## Closeout of SES Performance Plan



SELF ASSESS



RATE



REVIEW



ACKNOWLEDGE  
& SIGN



### Executive – Steps to Acknowledge and Sign

1. Login to InCompass.
2. In the tools task box on the right side of the screen click “**Executive Self-Assessment**”
3. Click “**Get Started**” at the bottom of the overview screen
4. View the comments and ratings for each critical element then Click “**Next**” at the bottom of the screen
5. In the higher level review section click “**Save and Continue**”. If you are requesting a higher level review select “yes” in the drop down then click “**Save and Continue**”.
6. In the sign-off section, click the...I acknowledge the review... “**Checkbox**” and the “**Sign**” button
7. Click “**Submit**” at the bottom of the screen



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